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ABSTRACT

The Intergovernmental Records Project (IRP) was established by the National Archives and Records Administration (NARA) to facilitate the exchange of information about federal records. This report focuses on six categories of intergovernmental records targeted by the IRP for description in the Research Libraries Information Network (RLIN) national online database: territorial records; naturalization records; water pollution records; New Deal agencies' work relief records for Wisconsin; non-population censuses; and pre-federal records for Virginia. Information provided for each of the six categories includes a summary; the project background; type of scheduling and appraisal information entered in the RLIN; access terms and search strategies; description and appraisal issues; and future recommendations. Also included in this report are 11 appendices: (1) proposed terms and procedures for representing intergovernmental relationships in RLIN; (2) summary of responses to an intergovernmental linkages memorandum; (3) access terms for intergovernmental categories; (4) research scenario, Records of the Work Projects Administration; (5) research scenario, Naturalization Records; (6) an example of NARA statutory history records; (7) NARA's New Deal Relief Agencies' records described by the IRP in RLIN; (8) a suggestion for the exchange of appraisal information between NARA and the states; (9) correspondence about territorial headings; (10) samples of a NARA data entry form and RLIN records; and (11) a sample of the Massachusetts schedule records series. Resulting from this project is the IRP recommendation that federal, state, and local government archivists seek grant support in cooperative projects for the development of a common methodology for assigning access points to archival description and cooperative appraisal. (MAB)

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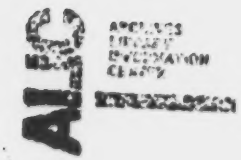
THE INTERGOVERNMENTAL RECORDS PROJECT

Phase 1 Report



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The IRP demonstrated the value of comparative appraisal for Federal and State records relating to the Clean Water Act, and recommends that such comparisons continue through telephone networking and through the description of schedule summary records in RLIN.

Phase II of the Project is currently underway, with a nationwide survey of archival institutions with intergovernmental holdings in two program areas. Thus far, approximately 600 archival institutions have responded to the survey. A report on this phase of the Project will appear in 1991.

EXECUTIVE SUMMARY

The Intergovernmental Records Project was established by the National Archives and Records Administration (NARA) to facilitate the exchange of information about Federal records that have been divided or duplicated through historical accident, or that document administratively-divided or parallel functions in our Federal system of government. Working first with two State Archives (Wisconsin and Virginia) and then with the thirteen State and two Municipal Archives of the RLG-Government Records Project, the IRP targeted, during its first phase, six categories of intergovernmental records for description in the Research Libraries Information Network (RLIN) national on-line database. The IRP described almost 1,000 NARA records series from these categories in RLIN, and compared these entries with entries from other institutions in the database. In the process the Project identified records that complemented NARA holdings and demonstrated that a national archival database such as RLIN is a uniquely powerful tool for the dissemination and comparison of data about intergovernmental records.

The process of data entry for intergovernmental categories also highlighted archival description problems, particularly the inconsistencies in access term selection among archival institutions. For the more efficient and effective use of a national automated environment, the IRP developed strategies for selecting common access terms across institutional lines, and proposed the sharing of agency history records and case file descriptions and the inclusion of more specific types of information in series descriptions. The Project also stressed the importance of cooperative action by archivists to secure needed changes in archival applications of library cataloging rules.

The IRP recommends that Federal, State and Local government archivists seek grant support in cooperative projects for the development of:

- a common methodology for assigning access points to archival descriptions, and
- cooperative appraisal, initially in a selected program area.

1.2. Phase I of this project focused on five categories of accessioned and one category of scheduled records, and covered the period April 1988 through December 1989. Phase II is focused on a nationwide survey of two categories of accessioned records; this phase began in October 1989 and will continue until June 1991. This is a report on Phase I; a second report, on Phase II, will appear in 1991.

1.3. The products produced by Phase I are approximately 1000 new series in the AMC (Archival and Manuscripts Control) File of the RLIN database, access term recommendations for selected categories of intergovernmental records, and the findings included in this report. The data entry total listed above refers to NARA records; quantities of records entered by State archival institutions are cited under several categories within this report, but no cumulative figures are yet available. The NARA records included the following categories (percentages represent that category's proportion of the total 1000 entries):

NARA RECORDS ENTERED INTO RLIN
Territorial records (56%)
Naturalization records (19%)
Water pollution records (From records schedules) (11%)
New Deal agencies' work relief records (for Wisconsin) (6%)
Non-population censuses (4%)
Pre-Federal records (for Virginia) (4%)

1.4. Since the purpose of the IRP is to facilitate the exchange of information about these records, the Project selected for data entry those series that seemed most relevant to describe in the database (rather than those that were easiest to enter), and

1. GENERAL SUMMARY

The Clean Water Act requires certain reports about water quality to be produced by each State and forwarded to the Environmental Protection Agency. Copies of these reports are retained permanently by the Federal Government on microfiche. Are State archivists familiar with the retention of these records at the Federal level? Would this knowledge make a difference to appraisal and disposition decisions at the State level?

A researcher is seeking nineteenth-century territorial records. There are significant gaps in the documentation at the archival repository he visits; some of which represent records located in other archival institutions. The researcher is uncertain what other institutions to query and is able to find only a few published guides to consult for other possible custodial institutions. Does the archivist's responsibility end when he provides finding aids for those portions of the record that have come into the custody of his institution? Do new national archival automated systems offer an effective way of describing divided records in a broader context?

1.1. The situations described above illustrate some of the considerations that led to the establishment by the National Archives and Records Administration (NARA) of the Intergovernmental Records Project. The purpose of the Intergovernmental Records Project (IRP) is to facilitate the exchange of information about Federal records that have been divided, either through historical accident or through the division of administrative function in our Federal system of government. These are records with a history of access and archival management problems, due to multiple institutional locations and inadequate description. To help examine methods and procedures for information exchange about these intergovernmental records the IRP established test categories in partnership with several State and Municipal government archival institutions, and described selected series from these categories in the Research Libraries Information Network (RLIN) national on-line database.

1.7. In the process of finding related entries, the IRP reviewed the various access terms and descriptive methods of different institutions for the intergovernmental categories. From these the Project began to identify a list of recommended terms (Appendix A) and entered into a productive dialogue about these recommendations with other government archivists (see Appendix B). The final list of terms is reproduced as Appendix C. Strategies for selecting access terms and methods became one of the most important aspects of the project, since a major problem in the expansion and use of RLIN is the inconsistency in access term selections and methods among participating institutions. This is not a problem with the technical environment of the RLIN database, but with the descriptive practices of participating institutions. The IRP brought a national perspective to such access and description issues, because NARA's holdings relate to all of the States and territories of the United States.

1.8. The possibilities of a national bibliographic network are particularly attractive for archivists, who have never before had the opportunity to participate in a system with the retrieval power and extensive membership of RLIN. Government archivists should also have an advantage in the identification and assignment of cooperative access terms, because government records are created in a Federal structure with an underlying matrix of linkages through organizational hierarchies, Federal and State statutes, regulations, shared statistical databases, etc. In the same way that the Anglo-American Cataloging Rules have been adapted for archival practice, [1] government archivists need to develop manuals for an access methodology for their records which would take advantage of these linkages. In the process of establishing access terms for the intergovernmental categories, the IRP identified some of the considerations and strategies that should be included in such a methodology.

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[1]Steven L. Hensen, Archives, Personal Papers and Manuscripts; A Cataloging Manual for Archival Repositories, Historical Societies, and Manuscript Libraries, 2d Edition (Chicago: Society of American Archivists, 1989).

1.9. The IRP based its proposed access strategies on the premise that the RLIN database is more than the sum of independent parts, that it is a discrete national finding aid. The Research Libraries Group (RLG) staff which administers RLIN reflects a similar point of view,[2] describing the database as a "de facto national union catalog for archival and manuscript material." The primary archival section of the database, the RLIN AMC File, currently contains more than 200,000 entries from over 100 participating archival institutions, including more than a dozen State Archives. RLIN AMC contributors include not only institutions but also surveys, such as the National Union Catalog of Manuscript Collections (NUCMC).

1.10. The IRP demonstrated that a national archival on-line database such as RLIN, implementing a common archival description format (USMARC-AMC), provides new and unparalleled power for the pooling of information about divided and shared records. The fact that the other primary example of cooperative description, NUCMC, has become an RLIN AMC participant demonstrates the attractiveness of an on-line environment. Using this new tool effectively will require that archivists identify and implement standards for more areas of descriptive practice, collect more specific types of descriptive data about records, and use the database in a way that is not only convenient locally but also contributes to the effective use of all of the records.

1.11. The records entered into RLIN by the IRP were the first NARA records contributed to the database since the conclusion of the MARC\Life Cycle Task Force in 1985. The experience of preparing archival description in the USMARC-AMC Format and entering it into RLIN was a useful learning experience for the NARA staff involved, most of whom had no prior training in this format or this database.

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[2]Steven L. Hensen, Strategic Plan for the Archives, Manuscripts, and Special Collections Program (Mountain View, California: The Research Libraries Group, Inc., 1989), Par. 1.0 (2).

1.12. Equally rewarding was the IRP's participation in RLG's Government Records Project (funded by the NHPRC). This project includes 13 State and 2 Municipal archival institutions, as well as NARA, and served as an effective sounding board for ideas related to the entering of government records into RLIN, and for the discussion of descriptive standards. Cooperative projects such as the GRP are one of the ways to implement NAGARA's call for a partnership between Federal, State and Local government archivists.[3]

1.12. The IRP therefore recommends that NARA continue to contribute records to the RLIN database, selecting the level and type of archival description that will contribute most effectively to the sharing of information about records without overwhelming RLIN retrieval systems with the mass of Federal records. The IRP also recommends that government archivists pursue grant support for the development of expanded intergovernmental access guidelines and methodology and for the drafting of new records schedules across levels of government for selected intergovernmental program areas.

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[3]National Association of Government Archivists and Records Administrators, A Proposed National Agenda, (November 1989).

1.13. The IRP's specific conclusions and recommendations are listed below:

(1) A national archival database is a uniquely powerful tool for the sharing of data about intergovernmental records, surpassing all current finding aid systems in inclusiveness and retrieval power.

(2) The lack of consistency in access term selection and methodology is a significant barrier to successful retrieval of data in RLIN.

(3) Government archivists should seek grant support for the development of intergovernmental access guidelines and methodologies, expanding guidelines developed by the IRP.

(4) Through sharing agency history records and case file information, archivists can save time in data entry and records description and can facilitate retrieval.

(5) Archivists need to include more specific types of information in series descriptions in order to enhance the effectiveness of automated systems, especially for intergovernmental comparison purposes.

(6) Library cataloging rules and methods can be applied successfully to archival description only if archivists work together to identify and negotiate needed changes.

(7) NARA should continue to enter selected records into RLIN, focusing on the levels and types of records that facilitate the exchange of information about records.

(8) Government archivists should seek grant support for pilot programs in which NARA and State and Local archivists work together to write new schedules in selected areas of intergovernmental activity.

(9) Government archivists should increase their comparative appraisal activities through (1) use of NARA "hot line" number and (2) sharing of schedule summary records in RLIN.

1.14. The discussion which follows provides a summary of the organization and activities of the IRP (Part 2) and a discussion of each of the recommendations (Part 3). The remaining sections of the report summarize the activities of the IRP relating to each of the records categories (Parts 4-9).

2. ORGANIZATION AND ACTIVITIES OF THE IRP

2.1. **Background.** The idea of an intergovernmental records project was articulated in a series of papers in 1986 and 1987. These papers described the division and duplication within the unpublished documentation of the American governmental experience, which is scattered throughout the United States in thousands of public offices at various levels of government and in a wide range of archival and manuscript repositories.[4] As a result of the nature and history of our Federal system, this documentation includes records of the National, State and Local governments with duplicate information, divided archives placed at various times for safekeeping in a multitude of public and private institutions, and records that result from administratively-divided and parallel functions of government. The development of a common archival machine-readable communications format and nationwide on-line bibliographic systems offer the opportunity in this Bicentennial era to apply new technology to this old problem.

2.1.1. In April 1987 a proposal for an intergovernmental records project was presented to the NAGARA Board of Directors; in December 1987 the Board endorsed the proposal in principle, suggesting that one or more specific categories of records be selected as an initial focus.[5]

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[4]For example, Frank B. Evans, "Intergovernmental Records Project: A Summary," Constitutional Issues and Archives (Mid-Atlantic Regional Archives Conference, 1988), pp. 41-46.

[5]National Association of Government Archivists and Records Administrators, "Minutes," (Boston, Massachusetts: Board of Directors Meeting, December 5-6, 1987), p. 2.

2.1.2. The idea of an intergovernmental project coincided with the vision of the new Archivist of the United States, Dr. Don W. Wilson, for a "truly national" role for the National Archives in "articulating the national interest in the identification, preservation and accessibility of archival records at all levels of government."[6] The Archivist's comments echoed those being made in the 1980's by major professional organizations. All of the agendas for the archival profession emphasized a need to analyze, describe and communicate more across institutional boundaries and levels of Government. The National Association of Government Archives and Records Administrators (NAGARA) published a list of general objectives and expectations for a broad **national** agenda calling for a partnership among Federal, State and local government archivists.[7] The SAA's Task Force on Goals and Priorities listed as objectives the promotion of "cooperation and sharing of expertise and resources among the archival community" and the "development of coordinated and cooperative documentation strategies."[8]

2.1.3. A decade earlier, this interest in multi-institutional cooperation had led to the establishment by the SAA of the National Information Systems Task Force (NISTF) and the development of a common archival format for bibliographic exchange (the USMARC-AMC format). Implemented by several on-line networks (such as RLIN, OCLC, WLN, and others) the format led to new types of archival finding aids in the form of on-line databases. These automated systems now offer a common forum for new developments in multi-institutional description and appraisal.

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[6]Don W. Wilson, "The National Archives: New Challenges, New Opportunities," Prologue 19 (Winter 1987): 220.

[7]National Association of Government Archivists and Records Administrators, A Proposed National Agenda.

[8]Society of American Archivists, Planning for the Archival Profession: A Report of the SAA Task Force on Goals and Priorities (Chicago, Illinois: Society of American Archivists, 1986), p. 11.

2.2. **Establishment and Organization.** In January 1988 Dr. Wilson established the Intergovernmental Records Project (IRP) as a pilot program of the National Archives and Records Administration, appointing Frank B. Evans as Director and Marie Allen as Deputy Director. The Project was also to include a library/data entry technician, hired later that year. Arden Alexander occupied this position ably during Phase I; Aaron Kornblum and Eric Chaskes share the job during Phase II.

2.2.1. The first action of the IRP was to request the advice and assistance of two outstanding State archival institutions, the Virginia State Library and Archives and the State Historical Society of Wisconsin. Both institutions had expressed interest in such a project and represented different historical experiences (one a former Colony and the other a former Territory). In April and May 1988, the Director and Deputy Director traveled to Madison, Wisconsin and to Richmond, Virginia to discuss the goals of the IRP and identify priorities and records categories. Discussions in both capitals included both the State Archivists and members of their staffs, and initiated work toward the definition of categories and processes. In May, the IRP summarized in correspondence with the two State Archivists the categories and procedures under discussion.[9]

2.2.2. The IRP then recommended to the Archivist that NARA become a member of the Archives, Manuscripts and Special Collections Program of the Research Libraries Group, in order to contribute records to the Research Libraries Information Network (RLIN) on-line database. This suggestion had been made several years earlier in the report of NARA's MARC/Life Cycle Tracking Project, but complications in the language of the membership agreement had delayed the process.[10]

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[9]Frank B. Evans to Dr. Louis Manarin, May 4, 1988, and Frank B. Evans to Dr. F. Gerald Ham, April 27, 1988.

[10]National Archives and Records Administration, The MARC Format and Life Cycle Tracking at the National Archives: A Study (Washington, D.C.: National Archives and Records Administration, 1986), p. vi.

2.2.3. Working with attorneys for both NARA and RLG, the IRP facilitated the resolution of outstanding issues and arranged a ceremony to mark the completion of the membership application process. NARA's full participation in RLIN represented a benchmark in the emerging pattern of closer partnership between Federal and State archivists, and was an important step in the work of the IRP. Wisconsin State archivists had strongly recommended the RLIN database as the most appropriate focus for IRP data entry. They had lengthy experience with RLIN, having participated in one of the original multi-institutional retrospective data entry projects, the RLG-Seven States Project (SSP).

2.2.4. With partners in the States and a database to use, the IRP worked also to establish lines of communication within NARA. In July 1988, the Archivist established an Intergovernmental Project Working Group, including representatives from the Office of the National Archives (Sharon Thibodeau), Office of Records Administration (Kenneth Rossman, Michael Miller), Regional Archives System (Rosanne Butler, Jerry Wallace), and Archival Research and Evaluation Staff (Ted Weir). Chaired by the Deputy Director, this Working Group became the focus for accomplishing the work of the IRP within NARA. The Deputy Director also traveled to Ft. Worth, Texas, to brief the NARA Regional Directors at their annual meeting, and to receive their input regarding the project's goals and procedures.

2.2.5. These initial steps were reported to the profession through papers at the annual NAGARA meeting (July 1988) and the annual SAA meeting (September 1988). The NAGARA program session included comments by the New York State Archivist; the SAA program session included the Virginia and Kentucky State Archivists and a senior New York City Archivist. At the SAA meeting, the Deputy Director also spoke at the Government Records Section meeting.

2.2.6. The pattern of consultation between the IRP and other government archivists continued as the project joined RLG's Government Records Project (GRP). This NHPRC-funded project was organized as a successor to the Seven States Project, and was tasked, among other things, with retrospective conversion of descriptive material about government records. Preliminary discussions concerning the organization of the project began in the spring of 1988, when the IRP hosted a

meeting of the prospective participants at NARA, but the GRP's official beginning date was not until March 1, 1989. The GRP included the original States from the Seven States Project (Alabama, California, Minnesota, New York, Pennsylvania, Utah and Wisconsin) as well as nine new RLIN participants (District of Columbia, Georgia, Georgia Historical Society (later replaced by New York City), Kentucky, Massachusetts, NARA, Nevada, Oregon, and Virginia).

2.2.7. Because both of the IRP's partner States (Virginia and Wisconsin) became participants in the GRP, some of the consultation and records comparison activity of the IRP was naturally expanded to include all GRP participants. In the selection of NARA records for data entry, records relating to Wisconsin and Virginia continued to have priority, but the IRP expanded several categories (non-population censuses, territorial records, naturalization records) to include also series relating to other States. The IRP participated in the GRP's discussions on descriptive standards, and brought IRP entries into conformance with new guidelines. The IRP also selected categories for scheduled records in conjunction with the Appraisal Committee of the GRP. The IRP prepared a paper suggesting terms for intergovernmental linkages (see Appendix A), which benefitted from review and comment by many of the GRP participants (see Appendix B). A final version of this paper is reproduced as Appendix C.

2.3. **Data Entry Process.** During Phase I, NARA and the State and Municipal archives participating in the project were responsible for identifying and describing their own holdings in the intergovernmental categories in RLIN. The IRP staff accomplished this task within NARA in several stages, with the assistance of the Intergovernmental Project Working Group:

o the IRP prepared data entry forms for accessioned records, agency history records, scheduled series, and schedule summary records. There are differences in the choice of MARC fields for each of these types of records and the use of separate forms seemed advisable. The forms included instructions on format, punctuation, and choice of indicators, and incorporated terms and controlled vocabularies from NARA's Life Cycle Manual with MARC fields.

o the IRP, through its Working Group within NARA, set goals for numbers of entries, identified the order of data entry for the IRP categories, and distributed the forms to the Office of the National Archives (NN) and the Office of Records Administration (NI).

o the NN representative utilized archivist trainees to identify and select series from the requested categories, and enter records descriptions on the data forms. The NI representative accomplished this task himself, although for a smaller number of series.

o the IRP added access terms to the data entry forms, created corporate names in accordance with the APPM (Hensen's manual), created agency history records as needed, and entered the completed information into the RLIN database. When the existing descriptive information for some of the series was found to be inadequate, IRP staff wrote new descriptions for records series.

To illustrate this process, copies of a sample completed data entry form and the resulting RLIN entry are included with this Report as Appendix J.

2.3.1. The initial data entry goal was 750 records series; the IRP eventually entered almost 1000 NARA records series and agency history records into the RLIN database, with several hundred more contributed by participating State and Local archival institutions. This data entry represented the first NARA records entered into RLIN since the approximately 1500 records entered by the MARC/Life Cycle Task Force, 1984-86. More detailed information about the number of records in each category, the selection of series for data entry from the thousands of series for each of the categories at NARA, and particular access and description issues are included in the Case Studies section of this report (Parts 4-9)

2.4. Related Activities: Phase II. In the fall of 1989, while continuing to enter records into the database for Phase I, the IRP began Phase II, a nationwide survey of territorial records and records relating to U.S. participation in World War II. After presenting and discussing the proposal for this survey with State Archivists at their meeting at NAGARA in July 1989, the NARA Regional Archivists coordinated the distribution of the survey and the receipt of responses. By June 1990, the survey had elicited very positive responses from over 600 archival institutions. IRP findings and activities relating to Phase II will be the subject of a second IRP report in 1991.

3. CONCLUSIONS AND RECOMMENDATIONS

3.0. In the process of identifying, selecting and entering records and agency descriptions into the RLIN database, the IRP came to some conclusions and identified several recommendations for future action.

3.1. A national archival on-line database is a uniquely powerful tool for the sharing of data about intergovernmental records, surpassing all current finding aid systems in inclusiveness and retrieval power.

3.1.1. For four of the five categories of accessioned records chosen by the IRP for test purposes, a researcher could not have found published inventories or guides that provided the information currently available in the RLIN database. The major exception is pre-Federal records, where the records quantities are not large and the volume of published description is generally high. Even for pre-Federal records, the sharing of descriptions in the RLIN database enabled the information to be searched using a variety of subject and other access terms, and the database thus facilitated the comparison of entries between institutions.

3.1.2. None of the other government records in the IRP categories were well described, and most were not included at all, in the National Union Catalog of Manuscript Collections (NUCMC). NUCMC's "Guidelines for Determining Eligibility of Collections" emphasize manuscript rather than archival collections; accepting only those archival materials "dissociated from the creating institution." Generally, government records in government archival institutions are excluded.

3.1.3. The descriptions of holdings in the NHPRC's Directory of Archives and Manuscript Repositories and in Hamer's Guide proved to be too general for the comparisons done by the IRP. In the NHRPC Directory, for instance, only two institutions reported naturalization records, although many of the institutions listed include such records, and have described them in RLIN.

3.1.4. In addition to inclusiveness, the RLIN database provides sophisticated retrieval power in the variety of its access points. RLIN search requests can be framed using subject terms, corporate or personal names, series titles, dates, form/genre terms, function terms, local subject terms, text strings from narrative descriptive material, related agency history records or any USMARC-AMC field number. The major subject, title and name indexes can limit or extend searches by using the connectors "and, or, not." The results can be viewed in four different types of screen displays, with varying levels of detail.

3.1.5. RLIN's capacity for handling descriptions of scheduled records provides a facility for archivists that does not exist elsewhere. Other than the articles about appraisal case studies in the professional literature, the most common method of sharing appraisal and scheduling data now is through informal telephone networks of appraisal archivists. This telephone networking provides a very useful form of communication, but is not an adequate substitute for a more broad-based method of sharing scheduling and appraisal information among government archival institutions. The pioneering work of RLG's Seven States Project and Government Records Project in this area have led to the establishment of guidelines for the type and location of appraisal and disposition information in the USMARC-AMC format. Government archivists can work now to implement these tools and build the universe of data in RLIN for comparative appraisal purposes.

3.1.6. In order to demonstrate the inclusiveness and power of a national archival database, the IRP prepared two Research Scenarios, describing the resources RLIN would provide to an historian studying the impact of Federal work relief programs in Wisconsin (Appendix D) and a family historian searching for naturalization records (Appendix E).

3.2. The lack of consistency in access term selection and methodology is a significant barrier to successful retrieval of data in RLIN.

3.2.1. The primary problem experienced by the IRP with sharing data in RLIN was the lack of inter-institutional indexing consistency, both in choice of access terms and in access methodology. This lack of consistency made it difficult for someone other than an expert to retrieve all or most of the records on a search topic. Increased use of the database, however, is clearly contingent on its availability to a broader base of users with varying degrees of expertise.

3.2.2. For instance, finding the records of a territory requires multiple types of searches, including searching for the term "territory" with the territory's name and the names of States formed from the territory in subject fields, corporate name fields, title fields and note fields. Finding naturalization records requires similar exhaustive attempts at a wide variety of access terms in a variety of locations. It is interesting to note that a subject word search for the word "naturaliz#" produces 506 results; a title word search for the same word produces 366 results; and some 34 records with the word naturalization in their title still did not use this as a subject term. There were no commonly-used form/genre terms or function terms identified for territories or naturalizations (although the IRP proposed several).

3.2.3. Examples abound of inconsistencies in subject term selection. Perhaps the best single study of this topic was published in 1987 in The American Archivist by Avra Michaelson. Michaelson examined the RLIN descriptions produced by twenty-one archival institutions for the same series. She concluded that "Extreme inconsistency in describing materials is the key problem facing archival reference in the age of automation." High on the list of inconsistent practices was the assignment of topical index terms, where Michaelson found that, for the same series description, not a single term was assigned by all indexers. In library terms, this is an "indexing consistency rate of zero." Michaelson acknowledges

that a perfect indexing consistency rate will never be attained, but recommends that this rate in RLIN be improved, through networking and guidelines:

> "Archivists can best address this problem by creating network users' groups whose purpose is to determine common use, promote adherence to conventions, provide needed training, and monitor participants' practice. Agreeing to agree is the prerequisite to achieving consistency."[11]

3.2.4. A similar recommendation was made by Marion Matters, Minnesota Historical Society archivist, in an unpublished paper evaluating RLIN's ability to support archival description:

> If work on descriptive standards is to continue, let it be in the area of formulating, cross-referencing, and assigning access points from controlled vocabularies. ....Integrate "research guides" with the bibliographic/authority databases--so that the query terms relating to certain types of research could trigger the display of research suggestions (e.g., a user queries the database via geographic names and is presented with an option to look at local history research guides as well as specific "works."[12] [13]

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[11]Avra Michaelson, "Description and Reference in the Age of Automation," The American Archivist 50 (Spring 1987, no. 2), p. 197.

[12]Marion Matters, "Description, Cataloging, Collection Management, and Research in RLIN," (submitted to the NHPRC with other case studies, March 31, 1988).

[13]Jackie Dooley, "An Introduction to Authority Control for Archivists," in Archival Informatics Technical Report, Part 2, 2(Summer 1988) made a similar point, suggesting that archivists devote time to "developing a set of guidelines for applying LCSH that would serve the content indexing needs of archival and manuscript collections and lobby for the addition of appropriate new terms and subdivisions to LCSH."

3.2.5. Michael Stevens and Karen Baumann of the State Historical Society of Wisconsin also point out that there are problems in the database with inconsistencies "in dealing with different creating agencies over a series' life span and in linking records to agency/division/bureau level creators."[14]

3.2.6. Allied with the issue of inconsistency in access term selection is the issue of ineffective search strategies. Kathleen Roe of the New York State Archives and Records Administration believes that search strategies are perhaps an even larger barrier to effective retrieval of records than inconsistent access terms: "No matter how consistent terms are, if the searcher does not have a solid concept of potential search methods, then the search will not be useful."[15] The IRP recommends that work in the area of access methodology be coupled with increased training in retrieval techniques.

3.3. Government archivists should seek grant support for the development of intergovernmental access guidelines and methodologies, expanding on the work done by the IRP and others.

3.3.1. The first descriptive standard adopted by the SAA Council, Steve Hensen's Cataloging Manual for Archival Repositories, Historical Societies and Manuscript Libraries (APPM), provides guidance for archival description within the general structure and approach of the Anglo-American Cataloging Rules. Hensen's manual describes the forms of headings for names and uniform titles, but does not cover the identification of subject, form/genre, function or other access terms. Guidelines for applying function terms were developed by the GRP (by members Kathleen Roe and Alden Monroe) and published by the Art and Architecture Thesaurus as Guidelines for Using the AAT Functions Hierarchy With Archival Records.

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[14]Michael Stevens and Karen Baumann to Marie Allen, "Comments on Draft of IRP Phase I Report," May 31, 1990.

[15]Kathleen Roe to Marie Allen, "IRP Report Comments," June 12, 1990.

Building on these publications, archivists need to develop manuals for methods of assigning access terms in a shared on-line environment which would utilize the automation experience of the library community and apply it to archival description. Government archivists should have an advantage in working out cooperative procedures in this area because of the intrinsic relationships among government records at the various levels of organization. Some of the factors to be considered in developing such cooperative methodologies have been identified by the IRP in the course of comparing Federal with State and Local government records.

3.3.2. The IRP proposed common access terms to GRP members for each of the selected intergovernmental categories of records. These recommended access terms are described in detail in each of the case studies and are listed in Appendix C. Records described in accordance with these guidelines were much easier to identify and retrieve across institutional lines.

3.3.3. The IRP terms evolved during the course of the Project from a simplistic original idea that the term "intergovernmental records" could be a general all purpose access term. The IRP had difficulty defining this term in any way that was not too vague to be particularly useful for description or database retrieval purposes. Instead, the Project searched for other specific terms that were natural choices from a descriptive point of view, and were already in use for similar records in the database. As the search for effective terms continued, the IRP began to devise methods of selecting terms to indicate level of government or to separate records created by a type of government from records about that government. The IRP developed guidelines concerning which terms from which of three controlled vocabularies were the most effective access points for a particular category of records; suggested strategies for linking agency history records across institutional lines; and proposed a new type of agency history record, the statute record. The IRP guideline terms were defined as a minimum level of cooperative indexing, with the assumption that institutions could and would assign additional terms in accordance with local practice.

3.3.4. In final form, the access guidelines followed several general rules:

(1) The IRP only used corporate names and subject or form/genre terms from well-known and widely-available controlled vocabulary lists, including the Library of Congress Subject Headings (LCSH), the Library of Congress Name Authorities (LCNA), and, for function and form/genre terms, the Art and Architecture Thesaurus (AAT). Although these controlled vocabularies present occasional difficulties in applications to government archival materials, they are well known, widely available, and are maintained and supported by their creating organizations. The importance of these factors outweighs the convenience of an idiosyncratic local list.

The importance of using these common controlled vocabularies is becoming more apparent as the number of participating institutions grows in RLIN. This factor was highlighted by Steven Hensen in the RLIN Strategic Plan. With the perspective of RLIN AMC's seven years experience and 200,000 records, Hensen recommends that the rules be tightened on sources for subject terms.

> RLG should rescind the previous policy of requiring only one LCSH heading per record, and require that the majority of subject headings (as well as personal and corporate name added entries) conform to national and LC standards.[16]

For all records categories except territorial records, the IRP identified LCSH and LCNA terms for use. In most cases, the LCSH terms were those capable of geographical subdivision. The IRP access terms did not include function terms(although these terms were occasionally useful in database searches) because of the greater specificity available through other terms.

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[16]Hensen, Strategic Plan for the Archives, Manuscripts, and Special Collections Program, p. 4.

(2) The IRP used a particular type of form/genre term, from the AAT list relating to provenance, to identify records created by a particular form of government. For instance, the IRP used "territorial records" as an access term to identify records created by territorial governments, as opposed to those database entries about territories. In a database with both manuscript and archival materials, the use of a form/genre term in this manner provides a useful selection utility, when combined with the name of the territory. The similar use of the terms "Federal government records" or "State government records" in addition to a subject term, will identify a particular level of government, for intergovernmental comparison purposes. The ability to access only Federal or only State records for a corporate name access term was of great importance in the comparison of scheduled records.

(3) The IRP selected specific rather than general terms, whenever possible, in order to reduce the number of extraneous hits. For example, the IRP used the term "New Deal, 1933-1939" for NARA entries of WPA records, but did not include this LCSH term in the guidelines for minimum access terms. Instead the recommended WPA terms focused on the more specific well-known names for the organizations and projects involved, CWA, FERA, WPA, Federal Theater Project, etc. The term "District Courts" instead of "Courts" was preferred, similarly. Given the burgeoning size of a government records database, the IRP felt that recommended terms should be as precise as practicable.

(4) The IRP included in the series descriptions or agency history records key information needed by researchers for successful retrieval of records. There are a number of interesting studies underway now to examine the types of terms and research approaches used by researchers in requesting records, in order to make archival description and access methods more attuned to the needs of users. The IRP staff talked to reference archivists about the forms of research requests for several of the intergovernmental categories; these discussions resulted in the modification of some terms and the inclusion of other types of information in some of the IRP series or agency history records. For instance, the IRP amended its agency history records for Federal District courts to include the names of counties in each of the judicial districts. This information facilitates research requests, which are often place specific, and establishes clearer connections with State naturalization indexes, which are often created at the county level.[17]

3.4. Through sharing agency history records and case file information, archivists can save time in data entry and records description and facilitate retrieval.

3.4.1. The phrase "shared cataloging" generally refers to the library practice of copying LC descriptions for those publications acquired by a library, with the addition of only a few data elements describing the acquisition library's name and location. The cost saving features of accumulating a card catalog in this way was one of the primary driving forces behind the development of library automated systems. Archivists have generally been unable to utilize shared cataloging, because archival materials are unique.

3.4.2. The IRP's experience with the current project demonstrated that there are limited applications for shared cataloging, applications that would save time for individual archival institutions and improve the quality of the RLIN database. These applications are particularly apparent and useful for intergovernmental categories of records, government records that are shared by many institutions.

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[17]This connection was first pointed out by Wisconsin archivist Harry Miller in a memorandum to Michael Stevens, dated October 19, 1989. This was transmitted to the IRP by Michael Stevens in a cover letter dated October 26, 1989.

3.4.3. One of the areas for shared cataloging is in agency history records. A key element of the original IRP access guidelines was the establishment of a common structure for government records descriptions through shared agency history records. The IRP created agency history records for the WPA and its predecessor agencies, and encouraged other institutions to link their State or Local level WPA agency history records to these. Such a linkage policy would utilize the MARC 773 field to establish a connection between the National, State and Lcal branches of a national organization, representing in archival description the intrinsic relationships present in the records. This type of context linkage brings a higher level of specificity to the retrieval result of a national search for WPA records.

3.4.4. Similarly, the IRP established agency history records for territories of the United States and suggested that government archivists holding territorial records include a 773 field link to the agency history record, either from series descriptions or from locally-defined agency history records. Portions of the records held by different institutions and States could thus be brought together easily and precisely.

3.4.5. The use of agency history records, in a slightly revised form, as statute history records, establishes a natural link between related scheduled records series, facilitating comparative appraisal. Statute records for the Clean Water Act were prepared in RLIN by the IRP for demonstration purposes, and are included with this report as Appendix F.

3.4.6. The sharing of agency history records and the establishment of statute history records was discussed but not endorsed by the GRP as a group. Several of the GRP member institutions are choosing to use the recommended agency history records, although some of them expressed concern that an agency history record originating in another institution could not be easily downloaded into a local system. Statute History records are a new document type, which would need to be considered and approved by the RLIN AMC program committee before implementation.

3.4.7. In addition to agency history records, a second area of potential shared cataloging is for descriptions of standard types of records. Modern governmental information gathering practices foster the production of similar records series through the use of standard forms, duplicate copy sets, printed instructions, etc. For several of the intergovernmental categories, most notably for non-population census schedules and for naturalization records, archivists at the Federal, State and Local levels hold almost identical records. Archivists do not need to duplicate the entire description process for these records at every institution. For instance, the NARA descriptions of the manufacturing, agricultural, mortality and dependent classes censuses (non-population censuses) reflect the data elements from printed forms, completed by government employees with detailed instructions; copying these standard descriptions, with annotations for the geographical coverage, dates, volume, and local repository location, could save other archivists time and unnecessary effort.

3.5. Archivists need to include more specific types of descriptive information in series descriptions to enhance the effectiveness of automated systems, especially for intergovernmental comparison purposes.

3.5.1. Because the purpose of the IRP was to facilitate the exchange of information about records with other government records archivists, the Project sought to select records for data entry that were related to holdings of other institutions. The identification of specific place names or statute names in the descriptive material was of key importance in identifying the most relevant series; many of NARA's series descriptions do not provide this type of data. The orientation of traditional archival finding aids is toward more general narrative types of description. There is a practical limitation on how much name and place data can be identified in the time available for creating a series description; however, the absence of this type of specificity has been one of the key complaints made by researchers about archival finding aids.

3.5.2. For example, the IRP selected New Deal era work relief agency records related to Wisconsin, from among the thousands of WPA, CWA and FERA series. It was not easy to identify relevant series from the series descriptions. After examining many inventories, NARA archivists concluded that the best clue for such relevancy was the series arrangement statement. The statement that a series was "arranged by state" made it more likely that records in the series might be related to copies retained in the States, or otherwise compared with State holdings. Unfortunately, the arrangement statement stopped at this point, without revealing whether the series included material from all 50 States, most of the States, or only a few. For the purpose of this project, archivists examined each of dozens of New Deal era series in many separate stack areas to identify whether Wisconsin records were included. The results of this examination are listed in Appendix G. For the series arranged by State, 95% included Wisconsin records. Not all States were uniformly represented in the series, so that the data gathered for Wisconsin is not representative. The retrospective identification of such information is an extremely time consuming activity. Gathering this type of specific place and name data at the time of initial description is clearly preferable, and should be part of new archival descriptive activity.

3.5.3. Another example illustrates the problem from the State perspective. In attempting to identify Federal scheduled records related to State series, the IRP found this statement in some State records descriptions: "Copies of materials forwarded to the Federal Government." This statement is not useful in identifying the location of the related Federal records. There are usually a multiplicity of possible agencies receiving the records, each one with a complex administrative structure and variety of records schedules. Specificity in the name of the Federal agency recipient is important to establish effective connections with related Federal records.

3.5.4. In forming headings, it is important to list the proper jurisdiction; thus a Federal agency with regional offices in Indiana would be described in the corporate name field as "United States.$bname of agency." not "Indiana.$bname of agency." It is also very useful to identify the name of Federal statutes or programs implemented by the records. Most intergovernmental activities are the results of Federal statutes and programs, and the records produced in compliance with the same program are more likely to be usefully compared. The IRP identified as the primary access point for Clean Water Act records the name of the statute from the LCNA (United States. Federal Water Pollution Control Act).

3.6. Library cataloging rules and methods can be applied successfully to archival description, but archivists must work together to identify and negotiate needed changes.

3.6.1. Automated systems are bringing together those estranged siblings, librarians and archivists, in successful coexistence if not complete compatibility. The IRP found that for most of the IRP categories and records descriptions, the Anglo-American Cataloging rules were usable and workable; these rules are easier to understand as a result of the APPM.

3.6.2. In the past, archivists have complained that the Anglo-American Cataloging Rules did not allow all of the hierarchy for a corporate name to be represented in the Main Entry-Corporate Name (110 field). For the sharing of data among institutions about intergovernmental records, the IRP did not find that the rules for the formation of corporate names were a problem. Orphaned segments of a corporate name hierarchy, beyond those that can be included in the 110 field, can be listed in the 797 field, are indexed in that field by RLIN for both corporate name and subject searches, and are therefore fully available for retrieval purposes.

3.6.3. The IRP did experience a problem with applying the cataloging rules to the names of territories of the United States, a problem that illustrates the importance of flexibility in the application of these rules. An APPM rule states that "When a succession of jurisdictions would be entered under the same name, use one heading for all, no matter what differences there are between the jurisdictions." [18] Under this rule, all records for Indiana Territory should be described as records of the State of Indiana, even though Indiana Territory encompassed parts of the present States of Indiana, Michigan and Illinois. At the request of the IRP, RLG officials suggested revising this rule. Steven Hensen's correspondence with the Library of Congress on this topic is reproduced as Appendix I. While LC and the RLIN AMC Bibliographic Control Committee are considering this issue, the IRP recommended listing the name of a territory in a local subject field (697), and the using a non-standard form of the name (United States.#bIndiana Territory) in the Main Entry-Corporate Name for agency history records. Of the six IRP records categories, access terms for only this one could not be accurately expressed in accordance with library cataloging methods and lists.

3.7. NARA should continue to enter selected records into RLIN, focusing on the levels and types of records that facilitate the exchange of information about records.

3.7.1. The NARA records entered into RLIN as part of this Project are the first since the conclusion of NARA's MARC/Life Cycle Tracking Project in 1985. The sharing of information about divided categories of records in RLIN has served both users and archivists, and has provided an interesting exercise in the comparison of Federal with State and Local government records. As part of this Project, IRP staff also participated in the GRP, adding a Federal perspective to the discussions of standards, controlled vocabularies and appraisal methods, and hearing viewpoints of the participating State and Municipal government archivists. NARA also became a member of

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[18]Hensen, Archives, Personal Papers, and Manuscripts, p. 102.

RLIN's Archives, Manuscripts and Special Collections program, and has participated on the Steering Committee of that group. All of these activities are important in building a stronger partnership between Federal, State and Local government archivists.

3.7.2. The IRP recommends that NARA continue to enter selected records descriptions into RLIN, focusing on series descriptions for intergovernmental categories of records. The IRP also recommends that NARA consider the feasibility of entering comprehensive descriptions at the record group and schedule summary levels. For future intergovernmental data entry, the IRP recommends that NARA respond to requests for the entering of records into RLIN from State and Local government archives engaged in subject-specific description or appraisal projects. The activities of the IRP have demonstrated the close relationships between NARA records and many records of State and local archival institutions.

3.7.3. Any discussion of large scale additions of NARA records to RLIN, however, brings related questions involving the impact of the massive size of Federal records. NARA is currently working with contractors to develop several sizable in-house databases, for the Office of the National Archives (NN), the Office of Records Administration (NI), and the Office of Records Centers (NC). A prototype system (PRESNET) already exists for the Presidential Libraries Office of NARA. The Archivist of the United States has mandated that all of these systems have the ability to export records in USMARC-AMC format. Thus, all could, when the systems are built, tested and completed, convert all records to a national database such as RLIN. This is one possible focus for NARA's participation.

3.7.4. A massive conversion of NARA's archival description at the series level, however, would immediately double the RLIN AMC file. The AMC File currently consists of about 200,000 records, including a variety of record types from about 112 participating archival institutions and manuscript repositories. One of the largest contributors is a State archival institution with 11,000 records (primarily series descriptions) in the AMC file. For comparison purposes, the series for NARA's Office of the National Archives is estimated at 200,000. The doubling of the records in the database could cause retrieval problems

for the system as it currently exists. For a multiple title-line type listing now, only 7 or 8 records can be viewed on a single screen. Searches which get thousands of results are almost impracticable to review. Some of the methods of limiting searches (by name of institution or date, for instance) only work if the initial search result is less than 2500 results. The addition of the hundreds of thousands of NARA series descriptions might reduce the speed and effectiveness of many current types of retrieval. Retrieval might also be complicated by the fact that the internal NARA systems are using internal subject and name authorities, rather than the LCSH and LCNA. As Sharon Thibodeau (NARA) has pointed out, it is speculative to discuss this issue, as NN is at least six years away from beginning to produce any MARC-formatted series descriptions from the new NN system, and the RLIN database is itself growing and evolving.[19] The discussion may highlight the types of problems with size that a national archival database will have to face.

3.7.5. This potential problem may be solved by advances in retrieval technology or by the establishment of levels for processing retrieval requests (i.e., leading users to relevant record groups or collections, then to series, then to items.) The IRP recommends that for the immediate future NARA describe in RLIN only selected series descriptions, those which would represent NARA holdings in an area rather describing all of them.

3.7.6. RLG's Strategic Plan also addressed this issue by discouraging item-level cataloging and encouraging participating institutions to focus their description first at the collection or record group level:

> The level of description in the RLIN AMC file should be such to guarantee a basic minimum level of access to the materials described. Although the RLIN AMC structure and the cataloging rules that underpin it specificallypermit archival and manuscript cataloging at any appropriate level--from individual items to record groups--a uniform base of collection-level cataloging from all participating institutions is the first step in

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[19]Memorandum from Sharon Thibodeau to Marie Allen, May 31, 1990, "Comments on Draft Report of Phase I of Intergovernmental Records Project."

guaranteeing consistent accessibility and comprehension of the database.[20]

3.7.7. NARA should also experiment with entering administrative history records into RLIN as that module of the internal automated system is developed. Authority records for Federal agencies can help to establish structure for relating records at the Federal level as well as across levels of government.

3.8. Government archivists should seek grant support for pilot programs in which NARA and State and local archivists work together to write new schedules in identified program areas, with priorities for areas including shared intergovernmental electronic systems.

3.8.1. The IRP has demonstrated the feasibility and usefulness of comparative appraisal using RLIN (see Part 9, Case Study of Records related to the Federal Water Pollution Control Act).[21] However, it was clear from that many of the older records entered as part of the IRP/GRP appraisal test did not contain sufficient descriptive information about their intergovernmental nature. To maximize the utility of the data, it would be necessary to redescribe many series to clarify their intergovernmental aspects, and to provide new access terms that facilitated comparative searches. In either case additional agency contacts would probably be necessary to acquire additional descriptive or scheduling information.

3.8.2. This work is best done as part of a separate project or projects to describe, inventory and schedule as necessary a target area of records for the explicit purpose of coordinating appraisal decisions. Such a target area should be selected with care. The IRP feels that records about the environment are a strong candidate for such attention because of their long-term legal, evidential, and informational value; the amount of duplication across governmental lines; and the

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[20]Hensen, Strategic Plan for the Archives, Manuscripts, and Special Collections Program, p. 6.

[21]This statement reflects the IRP's point of view and is not universally accepted. For instance, Kathleen Roe of New York State does not believe that the usefulness of comparative appraisal has been proven: "We can only say it is worth further investigation...we have not done enough substantial work to say more." Electronic Mail Message from Kathleen Roe to Marie Allen, June 12, 1990, "IRP Report Comments."

storage problems they represent. Also interesting are some of the new types of intergovernmental electronic records, particularly the decentralized Federal statistical databases for which segments are created and maintained by State and Local government officials. The IRP recommends that government archivists select a subject area for a national cooperative appraisal project and apply for grant support.

3.9. Government records archivists should increase their comparative appraisal activities through (1) entering schedule summary records in RLIN and (2) use of a NARA "hot line" number to request appraisal and disposition information.

3.9.1. Given the vast amount of appraisal and scheduling information government archivists have produced, it is unrealistic to expect that all information can or even should be shared at the series level in RLIN. Appraisal archivists should determine guidelines for what information is suitable for such detailed presentation in RLIN and how information about other types of records might be shared in a less labor-intensive manner. The IRP offers two alternatives for the sharing of some forms of appraisal information.

3.9.2. First, government archivists should consider entering schedule summary records describing scheduling activities in agencies where their institution will not be entering series level entries in the near future. The schedule summary record would provide a description of the agency or agency component, its functions, the general types of records scheduled and major series titles, date of completion, and similar information. Although not a substitute for series level description, schedule summary records would allow government archivists to identify other institutions that had dealt with similar records. This would provide a basis for selecting institutions to contact to inquire about potentially comparable series.

3.9.3. Second, the IRP recommends continuing and expanding the current telephone network among government archivists. Michael Stevens, Assistant State Archivist for Wisconsin, suggested that a successful experience he had with comparative appraisal be systematized through the establishment of an appraisal "hot line" number by NARA:

"A recent appraisal experience here at Wisconsin impressed upon me the need to set up a mechanism to share information that goes beyond making entries in a database. We recently received some record schedules drafted by our state Commissioner of Banking Office. In several of these the state office receives records, such as annual reports, that are also submitted to Federal agencies. In this case, after making several telephone calls, I contacted the National Archives records analyst who handles banking records. He was familiar with these series and informed me that NARA plans to schedule the reports for permanent retention. Since NARA will be preserving this information, Wisconsin can permit destruction of its copies of the records. We also discussed NARA appraisal standards for bank examinations performed on state chartered banks. A systematized exchange of this kind of information could also be useful to other states.

One of Don Wilson's goals for NARA set out at the 1988 NAGARA meeting is the development of a national collecting policy. The Intergovernmental Records Project recognizes that the sharing of information between NARA and the states will be a key part of such a policy in order to avoid duplication of effort or to fill in missing gaps in the documentation of our history. While we have concentrated on the database aspects of the project, another important element should be a telephone information service provided by NARA that could offer the States up-to-date scheduling and holdings information...."[22]

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[22]Michael E. Stevens to Marie Allen, "Exchange of Appraisal Information Between NARA and the States," October 27, 1988 (reproduced as Appendix H in this report).

NARA's Appraisal and Disposition Division (NIR) stands ready to assist other government archivists by providing appraisal and disposition information about Federal records. In the past year many archivists have availed themselves of this service and requested copies of schedules or scheduling concerning records of the Federal Elections Commission, the Environmental Protection Agency, Department of Energy, Department of Health and Human Services, and other agencies. Those who call the NIR number (202-501-6040) are referred to the appraisers who are best able to answer the caller's specific questions. Given the fact that NIR schedules over 7,000 series a year, this procedure offers a realistic alternative to entering all series into RLIN.

CASE STUDIES

4. NEW DEAL WORK RELIEF AGENCIES' RECORDS

4.1. Background. During the 1920's and 1930's several federal organizations were established to alleviate unemployment problems caused by the nationwide economic crisis. Work relief activities were administered by several successive federal organizations, including the Federal Emergency Relief Administration (FERA), the Civil Works Administration (CWA), Works Progress Administration (WPA), and the Work Projects Administration of the Federal Works Agency (WPA). The construction jobs accomplished by these organizations benefitted parks, schools, highways, hospitals, airports and other public buildings throughout the country; the so-called "white collar" jobs also collected an enormous amount of significant information, for such projects as the Historical Records Survey, Federal Theater Project, Federal Art Project, Federal Music Project, Historic American Buildings Survey, Historic Merchant Marine Survey, and Federal Writers' Program.

4.1.1. Congressional criticism and the onset of a second world war caused the projects to be somewhat summarily ended and their records "temporarily" stored in a number of different locations. The national offices had administered massive microfilming programs for state and district records, with the expectation that the microfilm would be retained in Washington, DC as the record copy and the original paper records destroyed. As the programs were being closed down, it was not always clear which records had been filmed. WPA records in the states were offered to local archival and educational institutions, and when no custodial organization could be found, the records were destroyed. Some 30 years later, Leonard Rapport of NARA spent weeks looking for the Historical Records Survey and Writer's Program records for Maine only to find from an eyewitness account that they "were dumped from a wharf into Casco Bay."

4.1.2. The WPA, CWA and FERA records that remain are difficult to find and use today because of their dispersion, often in unexpected places. The 250,000-item Federal Theater Project archives was in storage at the Library of Congress warehouse before becoming part of a New Deal Institute collection at George Mason University in Fairfax, Virginia. The current locations of the Historical Records Survey has been the subject of a survey of its own conducted by Leonard Rapport, with a grant from the National Endowment for the Humanities. The survey was published by the SAA in 1981. Microfiche in the jacket of the publication and a matrix appendix summarize the locations of the various segments of the HRS.

4.2. Selection of Entries. Because of this history of dispersion, the IRP selected New Deal Relief Agencies' records as an intergovernmental category, with a focus on those records relating to Wisconsin. The SHSW identified 16 series of federal work relief records from their holdings in RLIN, in the following general categories:

SHSW RECORDS ENTRIES
- for FERA, state summaries of grants
- for WPA and CWA (WPA offices inherited many CWA records)
  - State personnel records
  - State construction costs assessments and plans
  - County project administration records and statistics
  - Historical Records Survey published and unpublished inventories
  - Federal Writers' project publications

The IRP identified and entered into the database a total of 57 NARA series in the following categories:

NARA RECORDS ENTRIES
- all Wisconsin director's office records (organized under CWA and WPAs)
- selected CWA national office records, for
  - Director of Research and Statistics
  - State projects office
  - State correspondence series
- selected FERA national office records, for
  - Applications for grants
  - State correspondence series

selected WPA national office records, for
State correspondence series
Division of investigations
State administrator's office
Division of finance
Project control division
Federal Theater Project correspondence
Federal Writers' Project correspondence
Historical Records Survey administrative correspondence
Federal Art Project correspondence
Federal Music Project correspondence
Survey of Federal Archives correspondence

4.2.1. As with each intergovernmental category, there were thousands of pertinent NARA series and a meaningful selection had to be made for data entry into RLIN. The IRP selected from the CWA, FERA and WPA records all those series created by offices based in Wisconsin, and the related major national correspondence and report series.

4.2.2. In the course of this selection, the IRP became aware that NARA's descriptive practices do not encourage the comparison of records in this way. Often the series description and the series title do not clearly identify whether the records described are primarily created at the national level, represent documents received from the general public, or were received from state and local offices. The arrangement statement (i.e., arranged by state) is often the only indication that the series does, in fact, consist of records received from state offices. The IRP noted the inadequacy of this bald statement, and the frustration a researcher might experience in wondering whether the series described included records from all fifty states, most of them, only a few, etc. It was necessary for NARA staff to inspect the records in each case to establish the presence of records relating to the pilot program states of Wisconsin and Virginia. For the 27 series identified and examined, all but two had series relating to Wisconsin. (See Appendix D)

4.3. Access Issues. The primary access issue identified was the confusion arising from the fact that several federal organizations operated similar work relief programs in a relatively brief period of time. The initials "WPA" are well known; there is considerable confusion over the relationship between the two organizations with those initials (Work Projects Administration and Works Progress Administration) and the names and identities of the predecessor organizations, CWA and FERA.

4.3.1. The CWA program in Wisconsin extended from November 1933-March 1934 and employed, at one time, over 166,000 persons at a total cost of more than $36 million. The Director of the Civil Works Administration in Wisconsin reported to the Wisconsin Industrial Commission, which in turn was responsible to the Governor. Most of the state work projects were those planned but not previously funded by the State Highway Commission, Conservation Commission, University of Wisconsin and State Department of Education, including public improvement construction work on highways, schools, municipal buildings, parks and other recreation facilities. The Civil Works Service Division (CWS) initiated and administered jobs for women and professionals or "white collar" workers. The CWA hired only from state relief rolls in its first several months, but then established an equal division of jobs between persons on relief rolls and so-called "reemployment lists." Democratic party officials were generally appointed as district CWA administrators.

4.3.1. The State Emergency Relief Administration (ERA) and other Wisconsin State offices succeeded to many of the functions and programs of the State Director's Office in April 1934. Unlike the CWA, which was a Federal program administered by Federal employees in the States, the FERA program operated through providing Federal grants to state officials. Projects had to come within one of the broad major categories declared to be eligible for the FERA, and work had to be carried on in conformity with regulations issued by the FERA. Federal money had to be matched with State and local funds, and local communities were responsible for providing materials, equipment, and supervision.

4.3.2. From 1935-1943, the Works Progress Administration and the Work Projects Administration exercised control over all Federal work relief activities. The Office of the Wisconsin State Administrator was organized in four divisions with five district headquarters offices at Madison, Ashland, Green Bay, Menomonie, and Wood. The State office was responsible for the general administration of WPA programs, including the securing of Federal approval and funds for project operations and maintenance of primary project administration records. The State's district offices were responsible for the direct management of project operations. When WPA programs ended, records which had been microfilmed were destroyed. Other records were retained in state and local offices.

4.3.3. In order to facilitate the identification of records for each organization, the IRP created agency history records for the FERA, CWA and WPAs, as well as for the Wisconsin Director's office. These records provide basic information about the tasks and organization of these work relief agencies. The IRP also recommended that government records archivists consider linking related State- or Municipal-level agency history records to these NARA records, in order to facilitate the identification of all such State and Local administrative histories. By establishing links from series to agency histories, and from State-level to National-level agency histories, the database can re-establish the organizational structures which created the records, and strengthen the representation of provenance in the descriptive information.

4.4. Comparison of Entries. Through comparing the identified NARA and SHSW series, the IRP found that some of the records were very closely related. Although most of the district-level records remained in Wisconsin while State administrative records were microfilmed and transferred to Washington, this policy was not carried out uniformly. Some of the correspondence, reports, statistics, and other records at the State level remained in Wisconsin, including, most notably, a card index to all Wisconsin WPA

projects. The index is particularly important for a NARA series of Project folders for the Office of the Wisconsin State Administrator, covering the period 1935-1943, and filmed by the WPA on 156 microfilm reels. The arrangement of this series--by WPA project number--does not facilitate use, making the identification of the related index--arranged by county, and thereunder by town, village, city or other subcategory--extremely valuable.

4.5. Access Term Recommendations. The IRP did not find that any of the LCSH chronological time periods (i.e., New Deal, 1933-39) or relevant subject terms (i.e., Public welfare, Public service employment) were widely used by archivists describing WPA records. The name of the WPA (both Work Projects and Works Progress Administration) seemed to be the most common descriptive element. Unfortunately, this name appears in various locations in records in RLIN, sometimes only in series titles or corporate names and not in the subject fields. Because the organizations involved in New Deal work relief have well known names (most of which are listed in the LC Name Authority file), the IRP recommended that the following common access terms be used:

The preferred form for the WPA as a general subject heading is the final form of its corporate name:

610 10 $aUnited States.$bWork Projects Administration.

Earlier forms of its name and predecessor organizations' names can also be used, as appropriate:

610 10 $aUnited States.$bWorks Progress Administration.
610 10 $aUnited States.$bFederal Civil Works Administration.
610 10 $aUnited States.$bFederal Emergency Relief Administration.

There were several well known WPA projects which should also be entered under their own headings, as appropriate:

610 20 $aFederal Art Project.
610 20 $aFederal Music Project (U.S.)
610 20 $aFederal Theater Project (U.S.)
610 20 $aFederal Writers' Project.
610 20 $aHistorical Records Survey (U.S.)
610 20 $aHistorical American Buildings Survey.
610 20 $aSurvey of Federal Archives (U.S.)
610 20 $aHistoric American Merchant Marine Survey.

Sample records for this category from NARA and SHSW are included on the next page.

NARA RECORD
United States. Work Projects Administration. Office of Wisconsin State Administrator.
Project folders, 1935-1943.
156 microfilm reels.

Organization: Arranged numerically by official project (OP) number.

Summary: This series contains the primary documentation for the initiation, administration and completion of individual projects in Wisconsin supported partly or completely by the Work Projects Administration (WPA). Most of the documents in each project folder are completed WPA standard forms, such as the following: Project Applications, Project Proposals, Advice of Allotment, Report of Completed or Discontinued Project, Report of Physical Accomplishment, and Statement of Project Estimate Detail. These forms provide detailed information on estimated and actual costs allocated by source of funds for wages, equipment and other costs. Copies of easements, permits, and construction plans are occasionally included, as well as monthly status forms compiled by the state administrator. Narrative descriptions of projects are generally brief. A card index to projects arranged by counties, (WIHV 1688-A), is located at the Wisconsin State Historical Society.

Related records: Project card file records, 1936-42, (WIHV 1688-A). Wisconsin State Historical Society, Madison, WI.

Finding aids: WPA Microfilm Inventory. Available at the National Archives and Records Administration, Washington, DC.
In Related Rec. ID: (CStRLIN)DCNV89-A177 may be found an agency history record related to this records unit description.
Location: National Archives and Records Administration, 8th and Pennsylvania Ave., NW, Washington, DC 20408.

1. United States. Works Progress Administration. 2. United States. Work Projects Administration. 3. United States. Federal Works Agency. 4. Public service employment--Wisconsin. 5. New Deal, 1933-1939. 6. Wisconsin--Public works. 7. Federal aid to public welfare--Wisconsin. 8. Public welfare. 9. Employment.

035: 563
RGPN: 69. Record group. ID: DCNV89-A174

SHSW RECORD
United States. Work Projects Administration. Office of the Wisconsin State Administrator.

Project card file records, 1936-1942.
1.2 c.f. (6 card file boxes)

Organization: Alphabetical by county, thereunder by town, village, city, or general sub-categories. Following the county files are the other projects.

Summary: Project file consisting of description of job, location, supervising agency or sponsor, beginning and ending dates, funds needed and expenses incurred, registry number, date of initial application, whether approval given or not, man hours involved, project numbers, and whether the project was completed. Included also are National Defense, federal, nation-wide, and state-wide projects.

Received from the Department of Resource Development, 1967.

In Related Rec. ID: (CStRLIN)WIHV90-A385 may be found a history of the agency which created these records. To find this history, use the record id number listed in the previous sentence and enter "fin id WIHV<id number>."

Location: State Historical Society of Wisconsin. Archives Division. 816 State Street, Madison, WI 53706.
Location: MAD 3 /24/X1
1. Public service employment--Wisconsin. 2. State government records.
035: (WHi)82/5/4
2 035: (WHi)820001688
RGPN: Series 1688
ID: WIHV1688-A CC: 9665 DCF: a
PROC: b

CASE STUDIES

5. PRE-FEDERAL RECORDS

5.1. Background. A single transition to a new form of government, like that from territorial status to statehood, is a prime occasion for records dislocation and confusion. In the years between the American Revolution and the establishment of the federal government under the Constitution, there were several governmental transitions for the thirteen original states, involving the Continental Congresses and the Articles of Confederation as well as the Constitution. The fledgling states were also recovering from the human and economic effects of war. Pre-Federal records were selected as a category by the IRP because of this history of dispersion. The IRP focused on pre-Federal records for Virginia, because of its partnership during this test phase with the Virginia State Library and Archives (VSL&A).

5.2. Unlike some of the other IRP categories pre-Federal records have a lengthy history not only of dispersion but also of collection and publication. The holdings of NARA include the War Department Collection of Revolutionary War Records and the Naval Records Collection of the Office of Naval Records and Library. The main body of records for this period at NARA are the Records of the Continental and Confederation Congresses and the Constitutional Convention (Record Group 360), accessed by multi-volume name and subject indexes. Last year NARA published a Guide to Pre-Federal Records in the National Archives, which lists 91 separate microfilm publications of records in this category.

5.3. Finding aids for the VSL&A, as described in the Guide to State Records, reveal a wide range of documentation, dating from the colonial period. The series of records for the Virginia Colonial Government cover the period 1630-1778; and some of the bill series for the House of Delegates begin in 1776. Like the collections of revolutionary era records at NARA, the ravages of time have caused many gaps in the documentation; it is necessary to examine the description for each series to ascertain the current date and volume coverage. Also like NARA series,

descriptions of or the text of many series have been reproduced in paper publication or on microfilm.

5.4. Selection of Records. In cooperation with the Virginia State Library and Archives, NARA focused on data entry in this category for those pre-Federal records related to Virginia. For this topic, NARA entered 36 records; and VSL&A, 77. The NARA records included indexes, miscellaneous pay accounts, and records of the Virginia Loan Office and the Potomac Company. The VSL&A records included 48 series for the Auditor of Public Accounts, as well as several series for the state land office, treasurer, General Assembly, militia, and Supreme Court of Appeals.

5.5. Comparison of Entries. A comparison of entries in the database reveals close relationships among some records. The IRP entries include several account books of payments made to officers of Virginia regiments, part of the War Department Collection of Revolutionary War Records; similar records are part of the Virginia Auditor's accounts. The VSL&A describes journals and accounts of the Virginia Board of Western Commissioners; copies of some of these and other original material is included in the Miscellaneous Reports Series of the Papers of the Continental Congresses at NARA. Military pension accounts appear in the database, representing both separate federal and state pensions as well as common lists.

5.5.1. The most significant comparison between the two institutions' records for this period is the identification of the separate location for two significant financial offices: the records of the Virginia Loan Office are at NARA, while the closely-related records for the Virginia Auditor of Public Accounts are at VSL&A.

5.5.2. An act of the Virginia General Assembly established the Virginia Loan office in 1777; one of the loan offices in each state originally authorized by the Continental Congress. These offices were set up to receive subscriptions to the domestic loans for financing the Revolution. The State Treasurer was the first director of the Virginia office, authorized to accept loans for specie, continental paper dollars or bills of credit from lenders and to give certificates to lenders as receipts for their money.

The system of loan offices was continued under the first federal Secretary of the Treasury, Alexander Hamilton, and was abolished only in 1817 when the functions were transferred to the Second Bank of the United States.

5.5.3. The Virginia Loan Office records described by NARA include receipts, accounts, registers of certificates, registers of interest payments, etc. The Virginia Auditor of Public Accounts was established at the first session of the Virginia General Assembly, which convened on October 7, 1776. The Assembly created three auditors to examine and settle claims concerning receipts and expenditures for military purposes. The confusing financial situation of the state, however, resulted in a series of acts being passed over the next fifteen years elaborating and refining the duties of the auditors. In 1791 the General Assembly combined the duties of the Board of Auditors and the Solicitor General, whose office had been created in 1785 to settle the accounts of the state with the United States. The combined duties were settled on a single Auditor of Public Accounts, who soon became the most powerful fiscal officer in the state. All receipts and disbursements were made only upon his warrant to the Treasurer, and his books were the standard against which those of the Treasurer were checked. The records of the Auditor of Public Accounts described by the VSL&A in RLIN total 48 series (for the pre-Federal period), and include lists of federal and state pensioners, records of expenses of the Virginia delegation to the Continental Congress, claims, pay vouchers, loan warrants, etc.

5.5.4. Another significant result of the comparison of entries between the two institutions was the highlighting of the location of the records of the Potomac Company. The Potomac Company was incorporated in Virginia and Maryland in 1785, with George Washington as President, to improve navigation of the Potomac River by deepening the channel and cutting canals around the falls. The company never succeeded, and in 1828 its property was transferred to the newly-organized Chesapeake and Ohio Canal Company. After completion of the canal to Cumberland, Md, the company passed into receivership, and was eventually purchased by the United States and placed under the jurisdiction of the National Park Service. Thus it happened that these pre-Federal records were acquired by the National Park Service, as a successor agency, and are described with other Park Service records in NARA finding aids.

5.6. Access Issues. Because of their age and relative scarcity, colonial and pre-Federal records are generally described and indexed well. The series for records of this era are often either large "collections" of historical materials or very small series of one volume or a single report. The titles of some of these collections are too vague to be meaningful (for example, War Department Collection of Revolutionary War Records) or, on the other hand, de facto item level description, a practice discouraged by RLIN. The extensive NARA published finding aids in this area, as well as the existence of name and subject indexes, make it of limited value to describe the major NARA pre-Federal holdings in RLIN.

5.6.1. The IRP focused on describing groups of NARA records (such as those of the Virginia Loan Office and the Potomac Company) which were not part of the several major pre-Federal series and which were in perhaps unexpected custodial locations.

5.7. Access Term recommendations. It was difficult to identify a generally-accepted term for the period between the Revolution and the government created by the Constitution. The term "pre-Federal" is not listed as a recommended term in any list of RLIN access terms. The time period is represented in the LCSH under both the United States and, with varying dates, under the name of each state. State archivists working with the IRP also suggested that the use of a form/genre term indicating provenance, such as "colonial records," would be a useful way to delineate those records in a state which were created before government under the Constitution.

5.7.1. The IRP recommended the following terms for intergovernmental linkages of pre-Federal records;

Use one or both, as appropriate:

```
651 b0 $aUnited States$xPolitics and
     government$yRevolution, 1775-1783
651 b0 $aUnited
     States$xHistory$yConfederation,1783-1789
```

For records dating in the colonial period, use both a form/genre term and an example of a state-specific subject term:

```
655 b7 $aColonial records$2aat.
651 b0 $aConnecticut$xPolitics and government
       $yColonial period, ca. 1600-1775.
```

On the next two pages are sample NARA and VSL&A records entered into the RLIN database for this category.

NARA RECORD

Virginia. Loan Office.
Register of loan office certificates, 1785-1786.
.5 linear in. (1 v.)

Organization: Entries arranged chronologically.
Summary: A register (v.1078) of loan office certificates issued during the Revolution. After the war, these certificates were registered at their specie value and the interest due on them was calculated. This register gives the following information for each certificate: date when it was reduced to specie, number, date certificate was issued, amount (in dollars), name of payee, specie value (in the pounds, shillings, and pence of Virginia currency) of each certificate and of total amount presented, number of interest certificates and amount of each, and total amount of interest.

Finding aids: Preliminary Inventory of the Records of the Bureau of Public Debt, NC-120. Available at the National Archives and Records Administration.
In Related Rec. ID: (CStRLIN)DCNV89-A51 may be found an agency history record related to this records unit description.
Location: National Archives and Records Administration, 8th and Pennsylvania Ave., NW, Washington, DC 20408.

1. United States. Continental Congress. 2. Debts, Public--Virginia. 3. Loans--Virginia. 4. United States--Politics and government--Revolution, 1775-1783. 5. Virginia--Politics and government--Revolution, 1775-1783. 6. United States--History--Confederation, 1783-89. 7. Virginia--History--Confederation, 1783-89. 8. Federal government records. 9. Finance. 10. Virginia.

RGPN: 53. Record group.
ID: DCNV89-A53 CC: 9554 DCF: ?

VSL&A RECORD

Virginia. Solicitor General.
Correspondence and accounts relating to public debt, 1775-1792.
10 in.

Organization: Chronological.
The position of solicitor general was created by an act passed by the General Assembly during its session begun in October 1780. The solicitor settled accounts for all debts due the commonwealth, examined the auditor's accounts, and composed lists of taxes raised and the manner of their expenditure. He was authorized to sue for the recovery of delinquent taxes. On 25 November 1791 the General Assembly passed an act terminating the office; the auditor of public accounts assumed its duties on 1 January 1792.
Summary: This series contains correspondence and accounts concerning funds received and expended during the revolutionary war.
References: Auditor of Public Accounts inventory entry no. 19.
Forms part of the records of the Virginia Auditor of Public Accounts. Agency record VASV89-A24 describes the auditor of public accounts.
In Related Rec. ID: (CStRLIN)VASV89-A24.
Location: Virginia State Library and Archives, Archives Branch, 11th St. at Capitol Square, Richmond, Va. 23219; 9-A-14-4-6, box 114.

CASE STUDIES

6. TERRITORIAL RECORDS

6.1. Background. Thirty-one of the states of the United States went through a period of organization as a6 territory prior to statehood, some for as few as 3 years and others for as long as 69 years. Historical materials relating to the territorial period include records of central federal agencies having direct supervision over territorial governments and officials, records of territorial governments, and records of central agencies performing federal functions and/or maintaining field offices in the territories. The transition from territory status to statehood resulted in some confusion with regard to the transfer of records. The division of responsibility for the supervision of territorial affairs among several federal departments also led to dispersion of records.

6.1.2. In the second decade of the twentieth century, the first major compilation describing territorial records in Washington, DC was published by David Parker, with an introduction by J. Franklin Jameson. The fact that territorial papers were so widely dispersed and therefore often inaccessible led historical scholars to propose that the federal government make selected records available through publication. In the years that followed, first the State Department and then the National Archives published letterpress volumes for a total of 11 of the former territories. In many cases, additional records which could not be included in the letterpress volumes were made available through National Archives Microfilm Publications.

6.1.3. Despite these publications, historians and archivists continue to call for more identification, collection and description of territorial records. As a result, the National Archives is currently preparing a subject guide to territorial records in the custody of NARA. The IRP also selected territorial records as one of the test categories for Phase One and Phase Two of the project.

6.2. Selection of Records. The IRP focused its data entry activity on the records of territorial courts, records which were generally not described in the letterpress volumes or microfilm publications and which are available throughout the United States at NARA regional branches.

6.2.1. The judicial system of the territories was provided for by the acts of Congress establishing territorial governments, and generally included a supreme court, district courts, probate courts and justices of the peace. The three justices for each territory were appointed by the President and sat together as the supreme court, with each justice presiding over a district court. The supreme and district courts had jurisdiction over cases arising under United States or territorial law, with the territorial legislatures prescribing more specifically the civil and criminal jurisdiction of the district courts and the boundaries of judicial districts.

6.2.2. There were varying patterns of records transfer when a territory became a state. Sometimes the territorial court records were transferred to state courts with supreme court records transferred to the new state's supreme court and district and probate court records transferred to the new state's local courts (superior, district and county). Sometimes all or part of the records were transferred to the U. S. District Courts in the new states, or to territorial administration officials in Washington. Because the records were not divided in consistent predictable patterns, it is important to share information about the known locations of these records now, through the RLIN database or other means.

6.2.3. As part of this project, the IRP also included several of the major series of territorial administrative oversight records from the Departments of State and Interior, many of which are available as NARA microfilm publications.

6.2.4. The IRP has described a total of 531 records relating to territories of the United States. Listed below are the number of entries for each territorial government, in all cases, primarily describing the territory judiciary. Included in parentheses is the percentage the IRP entries represent of the total number of RLIN entries pertaining to or created by that territory. The majority of the non-NARA entries are for personal papers.

NAME OF TERRITORY	NO. OF ENTRIES	% OF TOTAL IN RLIN
Alaska Territory	63	73%
Arizona Territory	87	92%
Colorado Territory	10	42%
Dakota Territory	41	48%
Florida Territory	3	50%
Hawaii Territory	41	82%
Idaho Territory	4	57%
Indian Territory	92	25%
Indiana Territory	1	25%
Kansas Territory	21	53%
Michigan Territory	2	14%
Montana Territory	4	80%
Nebraska Territory	22	92%
New Mexico Territory	60	88%
Utah Territory	7	8%
Washington Territory	10	27%
Wisconsin Territory	5	36%
Wyoming Territory	5	100%

6.2.5. The IRP was not able to identify and enter into the data any records for the following nineteenth-century territories of the continental United States:

Alabama Territory
Arkansas Territory
Illinois Territory
Iowa Territory
Minnesota Territory
Mississippi Territory
Nevada Territory
Oregon Territory
Orleans Territory.

6.2.6. The territorial court records described in the RLIN database now represent the most comprehensive finding aid for these records currently available. The comparisons of IRP entries with other territorial records entries give evidence of the usefulness of a shared bibliographic database.

6.3. Comparison of entries. In some cases, the records of a territory have been divided among several institutions. For Wisconsin Territory, there are NARA entries for court records and State Historical Society of Wisconsin entries for the territorial governor, legislature, and treasurer.

6.3.1. In other cases, territorial court records were not found at NARA but are described by other archival repositories participating in RLIN. Minnesota Territory records are described by the state of Minnesota; Oregon Territory records by the state of Oregon; and Utah Territory records by the state of Utah.

6.3.2. Complicating access to some territorial records is the fact that the boundaries of territories were not always the boundaries of the states bearing the same name. Some entries are made explicable by this circumstance. For instance, Alabama, Mississippi, and Florida Territory records are described by the Alabama Department of Archives and History. Each of the three territories included part of the geographic area that is now the state of Alabama. In another example, the database includes a court record for Michigan Territory,1805-36, located at and described by the Bentley Historical Library in Michigan. This Michigan Territory series includes records of predecessor courts for the Northwest and Indiana Territories, 1796-1805.

6.4. Access Issues. The identification of effective access terms for territorial records was extremely difficult, and provides a case study in the problems of using library cataloging rules and library subject headings for archival materials.

6.4.1. The territorial governments which preceded the establishment of states of the United States are regarded as superseded jurisdictions, under the Anglo-American Cataloging Rules, 2d Edition. As stated in the APPM (see Footnote 1) the rule is as follows: "When a succession of jurisdictions would be entered under the same name, use one heading for all, no matter what differences there are between the jurisdictions." This is no problem when the boundaries of the territory equal the boundaries of the state of the same name, but is not accurate, and is misleading to use the heading "New Mexico" for an agency history record describing New Mexico Territory, when that territory eventually formed part of four states (Nevada, Arizona, Colorado and New Mexico). At the IRP's request, the RLG Program Officer for Archives, Manuscripts and Special Collections raised this issue with the Chief of LC's office of Descriptive Cataloging Policy (see letters reproduced as Appendix I).

6.4.2. The practical implications of this rule is that the IRP could not, in most instances, use the name of a territory in the Main Entry (USMARC-AMC 110 field), and be in compliance with database standards. (Exceptions applied for names of courts, which could include the territory name in parentheses, and entities such as Dakota Territory, which were not replaced by a state of the same name.) Even though the Wisconsin Territorial Government had legal authority to exist, governed the area of its jurisdiction, created records, and formed parts of two states, it can not exist as a records-creating unit in RLIN and its records must be described as though created by the state of Wisconsin.

6.4.3. RLIN program officers shared the IRP's concern about the inaccuracies of library cataloging rules in this area (as evidenced by Hensen's letter cited above), and agreed to continue to pursue revision of the cataloging rules.

6.4.4. Similar problems exist with LCSH Subject Terms. The term that would seem to apply to territorial records most directly is "United States-Territories and possessions." In practice, this term is used for noncontiguous territories governed by the United States and not for areas organized as territories prior to statehood. There are no subject terms for individual territories. For territorial records series currently described in the database, RLIN participants have traditionally used the appropriate chronological breakdowns of their State's

subject headings (under either History or Politics and Government).

6.4.5. As a result of the lack of a single appropriate LCSH Subject term, a researcher looking for records of or about New Mexico Territory, would have to know (1) the names of the four states that were formed from the territory (2) the dates during which the territory existed. Once he had identified this information, he would still need to search the database for all of these headings:

New Mexico-History-1848-
New Mexico-Politics and Government-1848-1950
Arizona-History-To 1912
Arizona-Politics and Government-To 1950
Nevada-[no established subheadings for chronological divisions of History or Politics and Government]
Colorado-History-To 1876
Colorado-Politics and Government-To 1876.

6.4.6. A researcher is not assured of finding all or most of the relevant records, even after searching through all these terms. The name of the territory may also be included in various places in the archival description, such as the corporate name, title, subject fields, or scope note; each of which is served by different indexes.

6.5. Access Term Recommendations. Because of the inadequacies of existing LCSH headings, the IRP, after consultation with RLG staff and with members of the Government Records Project, included the name of the territory in a local subject field (69X) for all IRP entries. Names entered in local subject fields need not conform to AACR2 standards. The use of a local field as a major access point was generally contrary to IRP policy, which focused on the use of terms that were widely known and included in published controlled vocabularies.

6.5.1. Finally, the IRP included a form/genre term for "territorial records" in each entry. Subject terms used identify indiscriminately both records about and records created by a territorial government. For archivists working to find missing records and connect the various pieces of a dispersed records group, the use of this form/genre term may help to identify and pull together those database entries which describe only records created by territorial governments.

6.5.2. In summary, the IRP used and recommended to other RLIN participants the following access terms and procedures for describing territorial records:

"Use both the form/genre term listed below and a subject term representing the appropriate chronological division of state history, preferably under headings for "Politics and Government" where those exist:

Example:
655 b7 $aTerritorial records.$2aat.
651 b0 $aAlabama$xPolitics and government$yTo 1865.

Also list the name of the territory in the local subject field:
697 2b $aAlabama Territory."

6.5.3. One additional recommendation of the IRP was not formally adopted by the Government Records Project, although some GRP participants plan to utilize it. The IRP proposed that RLIN database participants share agency history records for territories. Agency history records are a type of authority record, which, unlike records descriptions, should include standard factual types of information interchangeable among institutions.

6.5.4. Establishing good agency history records linked to series descriptions is a key element for enabling "Related ID" searches. The "Related ID" Search is a popular feature of the database, enabling a researcher to bring together easily all those records series linked to a particular records creating unit. If one imagines that the records of New Mexico Territory are divided among the states created out of that Territory (New Mexico, Nevada, Arizona and Colorado) as well as at the National Archives, one could also imagine a wide variety of access terms and agency history records relating to the territorial government. In describing the territorial records in RLIN, some states might describe the territorial period in a separate agency history record; other states might include a section about the territorial period in a more lengthy history of, for instance, the state legislature. By linking all series to a single authority record, a single search command brings together, like a standard archival inventory, all of the records created by that unit. In contrast, subject searches result in records about as well as records created by an entity.

6.5.5. The IRP proposed that archival institutions share agency history records for territories as appropriate, given the particular records described. For each of the territories represented by IRP entries, the IRP prepared agency history records or linked NARA series to existing records created by other institutions. The names and ID numbers of territorial agency history records identified by the IRP are listed on the next page. Each territorial agency history record created by the IRP includes the names of the states or other territories formed from the subject territory.

Alabama Territory (ALAV85-A51)
Alaska Territory (DCNV90-A64)
Arizona Territory (DCNV90-A65)
Colorado Territory (DCNV90-A66)
Dakota Territory (DCNV90-A67)
Florida Territory (DCNV90-A67)
(West Florida Province, ALAV86-A161)
Hawaii Territory (DCNV90-A69)
Idaho Territory (DCNV90-A70)
Indian Territory (DCNV90-A71)
Indiana Territory (DCNV90-A79)
Kansas Territory (DCNV90-A72)
Michigan Territory (DCNV90-A73)
Mississippi Territory (ALAV86-A196)
Nebraska Territory (DCNV90-A74)
New Mexico Territory (DCNV90-A75)
Utah Territory (DCNV90-A76)
Washington Territory (DCNV90-A80)
Wisconsin Territory, District Courts
(DCNV90-A77)
Wisconsin Territory Treasurer, WIHV88-A1
Wisconsin Territorial Governor, WIHV87-
A1637
Wisconsin Legislative Assembly
(Territorial),
WIHV87-A1636
Wisconsin Territorial Secretary, WIHV87-
A1623)
Wyoming Territory (DCNV90-A78)

NARA RECORD

United States. District Court (New Mexico Territory : 1st Judicial District).
Criminal case files, 1847-1865.
6 linear ft.

Organization: Arranged chronologically by date of filing cases 1-9; remaining cases arranged numerically by case number.

Summary: The oldest documents in the record of the U.S. District Court, Territory of New Mexico, First Judicial District, Santa Fe, are in this series. They relate to the Taos Revolt of 1847 against the American army of occupation during the Mexican-American War. Case 4 "United State of America" vs. Antonio Trujillo," is the most complete of these files with the 1847 indictment for treason, summons, exhibits, consisting of supposedly insurrectionary letters; a jury verdict of guilty, a sentence of death, and a plea of mercy for the defendant after sentence was passed.

Case 10 through 137 are dated after 1857 and consist of the indictment and assorted petitions in the early years and, later, records of bonds, execution papers, documents in Spanish, warrants, petitions, and motion. Larceny cases prevail while burglary, murder, intent to murder, and voting when not qualified are also common causes. Few of the cases have records reflecting adjudication but most of them have notations on the file jacket indicating the results of the case.

Finding aids: National Archives Microfiche Edition of the Preliminary Inventories, 1988. Available at the National Archives and Records Administration.

Location: National Archives and Records Administration, Rocky Mountain Region, Building 48, Denver Federal Center, P.O. Box 25307, Denver, Colorado,
80225.

1. Trujillo, Antonio. 2. United States--Territories and possessions. 3. New Mexico--History. 4. New Mexico--Politics and government--1848-1950. 5. New Mexico--History--War with Mexico, 1845-1848. 6. Santa Fe (N.M.)--History. 7.Law--New Mexico--Cases. 8. Treason--New Mexico. 9. Larceny--New Mexico. 10. Burglary--New Mexico. 11. District courts--New Mexico. 12. Murder--New Mexico. 13. Courts--New Mexico. 14. Elections--New Mexico--Corrupt practices. 15. Federal government records. 16. Territorial records 17. Case file. 18.Indictment. 19. Exhibit. 20. Law. 21. Territories. 22. New Mexico Territory. 23. Territory of New Mexico. 035: 21/35/1/21/17/1, 35-2 RGPN: 21. Record Group. ID: DCNV89-A504

CASE STUDIES

7. NON-POPULATION CENSUSES

7.1. Background. The decennial population censuses of the United States are a well known and heavily used historical resource, a starting point for most genealogical researchers. Many historical researchers are also increasingly interested in the so-called "non-population censuses." Beginning in 1850, the Census Office began collecting statistics on industry, agriculture, mortality and social statistics. The use of printed instructions and multiple schedules resulted in an unusual degree of accuracy and reliability of data.

7.1.1. Census schedules for industry (or "manufactures") contain basic information about every manufacturing, mining, fisheries, mercantile, commercial or trading business with an annual gross product of $500 or more. Included is each business' name; amount of capital; quantity, type and value of raw material used; inventory of machinery; number of employees and amount of wages; and quantity, type and value of annual output.

7.1.2. Census schedules for agriculture show the owner, agent or tenant of every farm with annual produce worth $100 or more (later $500), and include the type and value of acreage, livestock, machinery and produce.

7.1.3. Mortality schedules include the name, age, sex, color, birthplace, occupation, and marital status of each decedent, as well as the date and cause of death. In some years, the schedules also listed whether the decedent or his parents were immigrants, or the parents' birthplace and the name of the place where the fatal disease was contracted.

7.1.4. The schedules for "social statistics" were utilized to collect information on a wide variety of subjects, including some of the traditionally under-reported members of society. Included are inventories of orphans, prisoners, the insane, homeless children, indigent, deaf, blind, and others. These schedules also included lists of churches, schools, libraries, newspapers, taxes, the public debt, wages, etc.

7.1.5. In 1918, the 65th Congress authorized the destruction of the non-population census schedules for the period 1850-80 in a move to conserve space and reduce fire hazards in public buildings (House of Representatives, 65th Congress 2d Session, Document No. 921, Letter from the Acting Secretary of Commerce transmitting list of Executive Papers not needed or useful...). The Census Bureau offered the records to public and private archival repositories and libraries, with the result that these valuable records were preserved but in a wide variety of institutions. After the establishment of the National Archives, federal archivists began a letter-writing campaign to identify the location of these valuable records and secure either the originals or microfilm copies at NARA. As a result of this campaign, NARA acquired either microfilm copies or original non-population census schedules for many of the states.

7.1.6. As quantitative methods gained popularity in the mid-twentieth century, historians became more interested in the schedules and several more archival repositories collected them. The Duke University Library acquired original non-population schedules for Colorado, Connecticut, the District of Columbia, Georgia, Kentucky, Louisiana, Tennessee and one county of Virginia. In the 1960's the University of North Carolina Library received a grant from the National Science Foundation to microfilm agricultural and manufacturing censuses, including those for Alabama, Arkansas, Delaware, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, North Carolina, South Carolina, Tennessee, Texas, Virginia, and West Virginia. The Bentley Historical Library and the Yale University Library acquired microfilm copies of the schedules relating to their regions of the country.

7.1.7. The positive result of all of this activity by a variety of archival repositories is that most of the original non-population schedules were preserved, and duplicate microfilm copies for some of them exist at several locations. The negative result is that a researcher does not know where to go to find the schedules relevant to his research. For example, most of the nonpopulation Michigan schedules are at the Michigan State Archives, but the 1850 mortality schedule for Michigan is at the Ohio State Library. Most of the Montana schedules are at the state library, but the agriculture census for 1880 is at Duke University, bound with District of Columbia censuses. Most of Georgia's agriculture and social statistics

schedules are at Duke, although the mortality schedules, which were once held by the Daughters of the American Revolution, are now at NARA.

7.2. Selection of records. In accordance with its mandate to facilitate the exchange of information about dispersed categories of records, the IRP created database descriptions for all of the non-population schedules in the custody of the National Archives, whether in microfilm or original form. For entries describing microfilm copies only, IRP staff members have included cross references listing the repositories holding original materials, when known. A search in the database will inform a researcher not only of the records held by RLIN member institutions, but also, through cross references, of other repositories with significant holdings. All of the records described by NARA are available on microfilm, and can be made available to researchers at NARA Regional repositories.

7.3. Access Term Recommendations. After identifying non-population census records for data entry, the IRP addressed access issues related to each records category. It is clearly of little use to add records to the database if they can not be successfully retrieved, with logical search strategies.

7.3.1. A simple search in the RLIN database for all censuses will bring up almost 1000 entries, ranging from local school district censuses to copies of census population microfilm publications. At only seven entries retrieved at one time per screen, it is impractical to review all of these entries, and it becomes important to restrict the search in more specific ways.

7.3.2. Title searches are difficult in this area because the terminology is not consistent. Some series titles do refer to an agricultural census or a census of manufactures, but others refer to all of these only as "nonpopulation" censuses, or simply as "censuses." Because the series title as established in finding aids can not be changed readily, it is easier to enhance access through subject and other access terms rather than through series title changes.

7.3.3. The terms used to refer to these schedules within NARA (social statistics, mortality, etc.) are also not commonly known, and should not be used as primary access terms. Though the database provides for local subject fields, the IRP focused on assigning as access points terms that are commonly used and generally available on established controlled vocabulary lists.

7.3.4. Accordingly, the IRP recommended, after consultation with members of the Government Records Project, that the common access terms used for entries in this category be drawn from the LCSH, and include as a primary focus the identification of the records as part of a national census for a particular year:

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651 b0 $aUnited States$xCensus, [number], [year].

In addition, the IRP established comparable names from the LCSH for each of the popular names of the censuses, i.e,

For agricultural censuses,
650 b0 $aAgriculture$z[name of place]$xCensus.

For industrial censuses,
651 b0 $a[Name of state/county/city] $xManufactures$xCensus.

For mortality censuses,
650 b0 $aMortality$z[name of place] $xCensus.

For social statistics censuses,
651 b0 $a[name of place]$xSocial conditions$xCensus.

7.3.5. The publication of information about the contents and the location of non-population censuses, 1850-1880, should increase the use of these records by scholars, demographers, writers, genealogists, and others, because of the increased availability of the information and ease of retrieval. The sharing of information in an on-line environment also provides for more current information, particularly for records

subject to relocation. In the course of this project, the IRP identified inaccuracies in our lists and others' due to transfers of census schedules between institutions within the last decade. As the IRP learns of new locations, the records descriptions may be promptly amended, unlike printed finding aids.

7.3.6. The description of non-population schedules also offers opportunities to other archivists to consider the advantages of "copy cataloging." The time saving aspects of copy cataloging provided much of the impetus for the library community's development of automated systems. Archivists have less opportunity to share descriptive material. Howoever, for series such as census schedules, in which information is gathered by standard methods on standard forms, a new series may be described by merely changing the title, volume and location fields in another similar records description in the database. The body of the narrative description as well as most of the access terms would remain valid.

7.4. **Comparison of Entries.** Non-population entries by the IRP now describe non-population schedules for 33 states as well as Washington Territory. By searching RLIN, IRP staff found descriptions of non-population censuses in two additional states, Wisconsin (WIHV1675-A, 1676-A, 1677-A, 1678-A) and California (CSAV86-A1314, 1315, 1316). Entries for Utah described more of the schedules for that state than were described in IRP entries (UTSX90-A35). There were less specific references to some federal census records for this time period for records of Delaware (NYHV1218-A) and New York (NYHV88-A134, 2532-A). The Bentley Historical Library's descriptions of the locations of original Michigan census schedules enabled the IRP to correct and update location information in the IRP descriptions of NARA's microfilmed Michigan schedules. With the contributions to the databases of all of these institutions, the description of non-population censuses in RLIN is already the most complete and up-to-date list currently available.

7.4.1. Still undescribed in the database are non-population census records for the following states: **Arkansas, Connecticut, Delaware, Indiana, Maine, Maryland (except for Baltimore County), Mississippi, Missouri, New Hampshire, New Mexico, New York, North Dakota, Oregon, Rhode Island, South Dakota, and West Virginia.** For a sample non-population census record, created by the IRP in RLIN, see the next page.

NARA RECORD
ID DCNV89-A148 Sample record -- Non-population census

United States. Bureau of the Census.
Federal nonpopulation census schedules for Michigan, 1850-1880.
78 microfilm reels.

Organization: Arranged chronologically by year of census and thereunder by type of schedule and thereunder alphabetically by county.
Summary: Series includes mortality, agriculture, manufactures, and social statistics schedules for 1850, 1860, 1870, and 1880.

The mortality schedules from 1850 to 1880 include the following common elements: name, age, sex, color, birthplace, occupation, marital status, and the date as well as the cause of death. Though these schedules share a great deal of common information, they vary from census to census. In addition to the common elements, the 1850 and 1860 schedules include the number of days the deceased was ill and whether the deceased was slave or free. The 1870 and 1880 schedules ask if the parents of the deceased were immigrants in addition to the common elements listed. The 1880 schedules also include the parents' birthplace, the name of the place where the fatal disease was contracted and the length of residence in the county where death occurred, as well as the name and signature of the attending physician.

The 1850 and 1860 agriculture schedules show the owner, agent, or tenant of farms with annual produce worth $100 or more. Information about the kind and value of acreage, livestock, machinery, and produce is also recorded. The 1870 and 1880 schedules record the same information as the earlier schedules but only for farms of three acres or more or for farms with an annual produce worth at least $500. The 1880 schedule is supplemented by special schedules which relate to specific phases of agriculture.

The 1850, 1860 and 1870 manufactures schedules all record information relating to industry on a schedule entitled "Products of Industry." These schedules record information on every manufacturing, mining, fisheries, mercantile, commercial, and trading business with an annual gross product of $500 or more. They call for the name of each company or product; amount of

capital invested; quantity, kind and value of raw material used; kind of machinery; number of employees and amount of wages; and quantity, kind, and value of annual output.

The 1880 census uses a general schedule relating to manufacturing, which is supplemented by twelve special schedules for separate industries. Special agents, rather than the regular enumerators, collected statistics for certain industries and for industries in 279 cities of more than 8,000 inhabitants. The type of information collected was the same as that collected in the previous schedules.

The social statistic schedules for 1850-1870 requested information on churches, schools, libraries, newspapers, taxes, wealth, the public debt, wages, paupers, and criminals. In 1880 the social statistic schedules were withdrawn from the regular enumerators and special agents were appointed to collect the information. Supplemental schedules were printed and distributed to the regular enumerators. These schedules were designed to collect information on the defective, dependent, and delinquent classes: insane inhabitants, idiots, deaf-mutes, blind inhabitants, homeless children, inhabitants in prison, and pauper and indigent inhabitants.

Cite as: Federal Nonpopulation Census Schedules, Michigan, 1850-1880, in the Custody of the Michigan State Archives, Division of Michigan History, Department of State (National Archives Microfilm Publication T1164) and Federal Non-Population Census Schedules, Michigan, 1850, in the Custody of the State Library of Ohio, (National Archives Microfilm Publication, T1163)(1850 mortality schedule). Available from the Publications Services Branch (NEPS), National Archives, Washington, DC 20408.

Originals of 1850 mortality schedules at Ohio State Library, Columbus, OH.

Originals of 1850-1880 agriculture, manufactures, social statistics schedules and 1860-1880 mortality schedules at Michigan State Archives, Lansing, MI.

Finding aids: Federal Census Schedules, 1850-80: Primary Sources for Historical Research, Reference Information Paper No. 67; and Preliminary Inventory of the Records of the Bureau of the Census, PI 161 available at the National Archives and Records Administration, Washington, DC.

CASE STUDIES

8. NATURALIZATION RECORDS

8.1. Background. The granting of citizenship to resident aliens in the United States has historically been a function of courts at all levels of government. Several of the original colonies established immigration laws soon after the American Revolution. Although Article 1, Section 8 of the U.S. Constitution conferred upon the Congress the power to establish a uniform rule of naturalization, the first naturalization act, in 1790, continued the division of responsibility for this function. The act provided that an alien who desired to become a citizen of the United States should apply to "any common law court of record, in any one of the states wherein he shall have resided for the term of one year at least." Under this and later laws, enacted by federal and state legislatures, aliens were naturalized in federal, state and local courts.

8.1.1. The chaotic nature of naturalization procedures and records were revealed in a 1905 Report to the President on Naturalization, resulting in several significant changes in the next year.[23] An act of June 29, 1906, reduced the number of courts involved in naturalizations (although still at the federal, state and local levels), and established a Bureau of Immigration and Naturalization to "provide a uniform rule" for the granting of citizenship to aliens throughout the United States. Although naturalization laws continued to be revised, and the BIN was reorganized numerous times, the 1906 date marks a permanent improvement in the management of citizenship records. From 1906 on, copies of most naturalization records were transmitted to the administrative office in Washington, DC, from courts at all levels of government. From that date, the Naturalization office began to maintain central name indexes to the records, summarizing pertinent information about the applicants as well as identifying the courts of record.

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[23]Cited in John J. Newman, American Naturalization Processes and Procedures, 1790-1985 (Indianapolis, Indiana: Indiana Historical Society, Family History Section, 1985), p. 8.

8.1.2. The most common types of naturalization records are declarations of intention (by which applicants renounced allegiance to foreign governments and declared their intention to become U.S. citizens), naturalization petitions (by which applicants made formal request for U. S. citizenship, having met residence requirements and completed declarations of intention), and orders or certificates of the court granting naturalization to an individual. The forms used changed frequently, but a naturalization record might include the applicant's name, age, date of birth, occupation, personal description, present address, last foreign address, date and port of arrival in the United States, marital status, names and ages of children, proof of residency, and depositions of supporting witnesses. In some cases, the court separated naturalization records from other records (the IRP has focused on this type of separated record); in other cases, naturalizations can only be found by searching through the minute books, dockets, and other general records of The court.

8.2. Selection of Records. There are three common access points for a naturalization inquiry: **name** of applicant for citizenship, approximate **date** of application or receipt, and **place** of application for or receipt of citizenship papers. These elements are usually established through prior research in census records, passenger lists, or other sources.

8.2.1. In terms of logical order, the identification of **place** is the first and most difficult element. The identification of the probable county or state of an ancestor's naturalization is still not proof of the probably identity of the appropriate records custodian. The records may be in the custody of the courts or in archival repositories at the federal, state or local level. The IRP selected this category of records for data entry into a national database, partly because of the obvious need to share information about naturalization records in a medium that included data entry from all levels of government.

8.2.2. In order to expedite access by place, a researcher also needs to know which geographic entities are under the jurisdiction of which courts. Naturalization records are arranged first by the court which created them. The IRP focused on this issue as it applied to federal courts, and on sharing geographic information at the county level. Although some States

have had only one Federal District and one Federal Circuit court, with the State constituting a Federal judicial district, there are many States with multiple Federal district courts, some of which are also organized into geographic divisions. In order to facilitate access by place, the IRP created agency history records for the Federal district courts in each State, listing the counties included in each district court or each district divisional court. The following search will call up the appropriate agency history record for a sample State:

fin sp judicial districts and sw wisconsin
[i.e., find subject phrase judicial districts and subject word wisconsin]

8.2.3. Because of the importance of access by place name, the IRP also selected for data entry representative series descriptions for each federal court with nineteenth-century records. The IRP did not have the personnel to enter into the database all of the thousands of naturalization series in NARA. A selection was necessary, and in order to secure maximum benefit from the records entered, the IRP entered into the database at least one series from each court. The representative series will provide the researcher with information about that series and also alert him to the fact that NARA has archival materials for that Federal court with jurisdiction in that county and state.

8.2.4. Access by approximate **date** is generally not difficult for naturalization records, because the dates are usually a part of each series description. The RLIN database has required date fields which can be searched using the "also" command, delimiting a prior search.

8.2.5. Access by **name**, although considered last here, is generally the most important single method of searching in naturalization records. This ease of this type of access depends, first, on whether the search is for records before or after 1906. Beginning in 1906, a national central index was maintained (described in RLIN by the IRP as series DCNV89-A233) and can be referenced by writing to the Immigration and Naturalization Service. Before 1906, ready access by name is dependent on the presence of name indexes covering counties or states. For this project, the IRP

focused on the more difficult access period (before 1906) and targeted name indexes for priority data entry.

8.2.6. Although limited name indexes are occasionally described in naturalization series, for particular counties or records subseries, the most notable indexing efforts for nineteenth century naturalization records were those of the Work Projects Administration (WPA). Organized to provide work relief for the unemployed, some of the WPA projects focused on copying naturalization records from all of the courts in a state (whether federal, state or local), and producing name indexes to the records using the soundex system. Some of these indexes were completed and some were partially completed and turned over to state archival institutions. For the areas covered, these WPA indexes are a good example of an intergovernmental record, having federal origins but relating very closely to state and local records. The IRP entered into RLIN all of those descriptions of WPA indexes reported to the project staff, for New England, for New York City and Chicago, and for the states of Iowa, Indiana, New York, Texas, Louisiana and Wisconsin. The IRP selected the form/genre term "index" for each of these series, and used LCSH subject terms for naturalization and for the geographic entity represented. The following sample search would identify any pertinent federal indexes for a state such as Wisconsin:

> fin fg index and sw wisconsin
> [find form/genre term index and subject word Wisconsin]

8.2.7. For naturalization records, a history of concurrent activity at all levels of government has resulted in difficult access issues. The IRP focused on facilitating research in this area through including in its data entry all known federal name indexes, representative series from each federal court, and nineteenth-century series. The IRP also facilitated the identification of the appropriate federal court for each locality by describing jurisdictional boundaries in agency history records for the federal district courts of each state.

Total of naturalization records entered into database by IRP:

146 series descriptions
33 agency history records
179 total entries.

Representative series were entered for the following states:

Alabama, Arkansas, California, Connecticut, Delaware, Georgia, Illinois, Indiana, Iowa, Kansas, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Missouri, Montana, Nevada, New Hampshire, New Jersey, New York, Ohio, Oregon, Pennsylvania, Rhode Island, South Carolina, Texas, Vermont, Virginia, Washington, West Virginia, Wisconsin.

Representative series were entered for the following territories:

Alaska Territory, Arizona Territory, Hawaii Territory, Indiana Territory, Michigan Territory, New Mexico Territory, Washington Territory.=

8.3. Access Term Recommendations. The terms recommended for naturalization records were as follows:

Use both the subject and form/genre terms below:

655 b7 $aNaturalization records.$2aat.
650 b0 $aNaturalization$z(insert name of state)$z(insert name of county or city)

NARA RECORD
FIN ID DCNV89-A801 - 1 record in AMC

United States. District Court (Pennsylvania : Western District : Erie Division).
Petitions for naturalization, 1819-1952.
378 linear ft. (928 v.)

Organization: Arranged numerically.
Summary: These are instruments by which those who had declared their intention to become U.S. citizens and had resided in the U.S. continuously for 5 years made formal application for U.S. citizenship. The data given includes name, residence, occupation, date and place of birth, citizenship, and personal description of applicant; date of emigration; port from which applicant
emigrated and port of arrival in U.S.; marital status; names, dates, places of birth, and residence of applicant's children; date at which U.S. residence commenced; time of residence in State; name change and signatures. Copies of declarations of intention, certificates of arrival and certificates of citizenship classes are often interfiled with petitions.

The petitions for the circuit court for the period 1837-1875 are filed with the district court petitions. There are some declarations of intention filed with the petitions for the period 1819-1858. 1

The Naturalization Clerk of the U.S. District Court for the Western District of Pennsylvania has an index to naturalization petitions for the periods 1857-1897, and 1906-present.

Finding aids: National Archives Microfiche Edition of the Preliminary Inventories, 1988. Available at the National Archives and Records Administration.

Location: National Archives and Records Administration, Mid-Atlantic Region, 9th and Market St., Room 1350, Philadelphia, PA 19107.

1. Pennsylvania--Emigration and immigration.
2. Pittsburg (Pa.) 3. Williamsport (Pa.)
4. Naturalization--Pennsylvania.
5. Citizenship--Pennsylvania.
6. Immigrants--Pennsylvania. 7. Federal government records. 8. Naturalization records. 9. Petition. 10. Citizenship. 11. Immigration.
ID: DCNV89-A801

CASE STUDIES

9. SCHEDULED RECORDS RELATED TO THE FEDERAL WATER POLLUTION CONTROL ACT

9.1. **Summary.** The archival profession has devoted much attention to appraisal questions in recent years. Terms such as cooperative appraisal, documentation strategy, and shared appraisal information highlight the SAA's GAP report and the NAGARA's 1988 proposed national agenda for state government records programs. The same themes pepper the titles in the periodic literature and sessions at annual professional meetings. In the words of the NAGARA proposed national agenda: "Often appraisal is carried out series by series without regard to the larger records picture or comprehensive objectives to document government and the topics and events covered in government records."[24] Many, if not most, of the appraisal activities underway emphasize ways of providing a larger context for appraisal decisions.

9.1.1. Intergovernmental records provide an excellent forum for examining these issues in a concrete manner. Although the main thrust of the IRP was the sharing of descriptive information about accessioned records, it has always had an appraisal component. The IRP's appraisal agenda concentrated on examining in a concrete qualitative way the potential opportunities and problems involved in sharing appraisal information about intergovernmental records in specified target areas. Among the questions the IRP examined for scheduled records were the following:

> How can we best identify related records?
> What appraisal information is most useful to share? How useful is it?
> What would those involved have to do to make the sharing of information work more effectively?

9.1.2. These issues had been addressed by the Seven States Project (SSP) as well, with only limited success. The SSP's frustrations in this area are summed up in the opening statement from Wisconsin's evaluation:

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[24]National Association of Government Archivists and Records Administration, A Proposed National Agenda, p. 2.

> "Our experience in using RLIN in making appraisal decisions also has been mixed. If searching for our own records presented difficulties, searching for other institutions' records was even more difficult. Problems here relate again to inconsistency in the application of subject terms. Also, in searching a larger field of records, it was necessary to use more specific searches. The inconsistencies between institutions in the assigning of series titles, form and genre terms, scheduling information, 690s, and the process terms meant that the searcher had to do a lot of guess work and had to try a variety of searches in order to track down the relevant records out there."[25]

The IRP sought to build on the work of the SSP and apply the lessons learned to the examination of one category of intergovernmental records.

9.1.3. The IRP chose as its category records created in response to the Federal Water Pollution Control Act, a major environmental program administered in a decentralized fashion across governmental lines. By establishing both programs and record keeping requirements, the Act provided a loose external structure for the records created at all levels of government. This simplified the sharing of appraisal information because the structure assisted the IRP in locating records serving similar functions across state lines (parallel series) and records containing related information at different governmental levels (hierarchical series).

9.1.4. The experiment in sharing appraisal information about intergovernmental records identified (or reidentified) a number of problems, but the results underscore the overall usefulness of having such information available in an on-line environment. Many of the problems are the same ones that plagued the Seven States Project: lack of adequate descriptive information, little or no actual appraisal information, and inconsistent access terms. However, the intergovernmental nature of the records and the common guidelines for access terms mitigated the impact of

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[25]State Historical Society of Wisconsin, "Evaluation of the Seven States Appraisal Project" (staff paper), p. 2.

these problems and provided a basis for comparing appraisal decisions and rationales.

9.1.5. The IRP also concluded that methods of sharing appraisal information in RLIN are at a point of divergence. Now an appraisal archivist uses an RLIN search, which provides some valuable information about general types of scheduled records in other institutions, as a starting point only. The archivist uses the RLIN information as a basis for contacting particular institutions and requesting more detailed information, such as copies of schedules or appraisal memoranda. This is in fact how it has been used in specific instances during the course of this project. If this level of use satisfies the profession's expectations of an on-line database, then the status quo is sufficient. In order to make this process work more smoothly, NARA lists in the report a single telephone number for inquiries about NARA scheduled records, and suggests that government archivists share schedule summary records in RLIN.

9.1.6. However, if government archivists would like to use RLIN as a stand-alone tool, one that can be used apart from clarifying telephone calls, then the type of information entered will have to change. Descriptions will have to improve; appraisal information will have to become more informative; the intergovernmental aspects of the records will have to be researched; and common access terms and methods will have to be used. All of this represents added time and expense.

9.1.7. In order to examine the benefits and difficulties of such enhanced RLIN appraisal records, the IRP recommends that government archivists seek grant support for a pilot program for the development of new schedules in a single significant area of intergovernmental activity, such as environmental protection or law enforcement. Current RLIN data entry projects rely primarily on retrospective conversion of existing records descriptions. The quality of the shared information suffers from the limitations of the original descriptive material, written with different uses in mind. For enhanced appraisal records, new information will have to be collected and new types of descriptions generated. The RLIN records created and evaluated by such a pilot program could serve as a test project in cooperative appraisal for government records in an area of critical importance.

9.1.8. The discussion which follows is divided into six parts:

Part 1 describes the decisions that determined the structure and goals of the IRP's appraisal component
Parts 2-5 address the basic questions that the IRP examined:
the usefulness of the MARC-AMC format itself
authority records
access and search strategies
descriptive information
appraisal information
Part 6 offers some overall recomendations and suggests some directions that this project, or successor projects, might take.

9.2. **(Part 1) Project Background.** The first decision facing the IRP was the selection of a governmental function for study. The initial choice was grant records for handicapped education, but this was dropped due to lack of interest by participating State Archives, the difficulty in identifying potential records for entry, and the fact that the federal schedule for the Department of Education was a generic one, making it almost impossible to match federal to state records with any assurance of accuracy. The Virginia State Archives first suggested wetlands records as a focus. After polling the 13 State and 2 Municipal Archives participating in the Government Records Project, the focus was further refined to those records created in accordance with the Federal Water Pollution Control Act. [26]

9.2.1. The Federal Water Pollution Control Act (FWPCA), also known as the Clean Water Act, was passed in 1972 (Public Law 92-500), amended in 1977 (Public Law 95-217), and further amended several times since. Its stated objective is "to restore and maintain the chemical, physical, and biological integrity of the Nation's waters." According to Title 1 of the FWPCA, it was the policy of Congress to recognize, preserve,

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[26]As described in Part 2.2, the IRP began in 1988 in partnership with the State Archives of Wisconsin and Virginia. In 1989, these State Archives as well as 13 other State and Municipal archival institutions and NARA were invited to participate in the newly-organized Government Records Project. The GRP and IRP agreed to select the same categories for data entry of scheduled records.

and protect the primary responsibilities and rights of the States to 1) prevent, reduce, and eliminate pollution; 2) plan the development and use of land and water resources; and 3) consult with the Federal government on the exercise of authority under the FWPCA. Many programs were delegated to States for implementation. States were to manage the construction grant programs in the FWPCA and implement the 402 permit program. In 1987 the FWPCA was amended by the Water Quality Act which expanded the Environmental Protection Agency (EPA) program to address new discharge sources of pollutants and control toxicity.

9.2.2. The FWPCA is divided into five titles: Research and Related Programs (Title I); Grants for the Construction of Treatment Works (Title II); Standards and Enforcement (Title III); Permits and Licenses (Title IV); and General Provisions (Title V). Each title is further subdivided into sections on specific issues or programs such as construction grants (Section 208), water quality standards and implementation plans (Section 303), the National Pretreatment Program (Section 307), the National Polutant Discharge Elimination System (Section 402), and wetlands protection (Section 404).

9.2.3. The FWPCA made sense as a target area for shared appraisal information because it fit a number of criteria. First, the records presented real appraisal questions. The general subject area - environmental protection - is an important one, and due to the relatively recent nature of most environmental legislation, there are few established guidelines for appraising the records. Appraisers must weigh the obvious legal and evidential value of the records against the fact that many of the files are voluminous and highly duplicative. The picture is further clouded by the fact that much of the information collected is forwarded from one governmental level to the next and exists in enormous databases maintained by the Environmental Protection Agency (EPA) and used by the states. The complexity of the information itself and the intergovernmental relationships surrounding its creation and maintenance make the area an excellent target for cooperative appraisal.

9.2.4. Second, the FWPCA is a truly intergovernmental venture with delegated authorities and decentralized administration. In the broadest outlines, the EPA (Federal Environmental Protection Agency) in Washington sets guidelines, EPA regional offices monitor and coordinate the program, and the States are responsible for actual implementation. As a result there is a parallel exercise of functions (mostly by States) and a hierachical flow of information (from States to EPA regional offices to EPA headquarters). Frequently, information is available in both electronic and hard copy formats and much of the electronic information is jointly produced and used by the EPA and State agencies. The records therefore offer significant potential for examining appraisal decisions of parallel records created by different states, as well as records related to each other hierarchically.

9.2.5. Finally there were two practical considerations. Many agencies annotated their records with references to relevant sections of the FWPCA, simplifying linkage of related records. Also, NARA and the State Archives of Virginia and Wisconsin (IRP partner institutions) had already scheduled some records in the area, which was seen as an advantage given the limited time available. This "advantage" had a severe disadvantage attached, as will be discussed below.

9.2.6. With a category selected, the IRP identified the types of information to be shared in RLIN. The IRP complied with guidelines created by the GRP for the characteristics of appraisal information in RLIN (the GRP decided to eliminate subfielding in these fields) and the titles used for data types (schedule summary records, general schedule series records, and schedule series records).[27]

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[27]Definitions and examples of these record types (schedule summary record, schedule series record, and general schedule series record) are included in a paper coordinated and edited by Sharon Nelson (Chair of the GRP Appraisal Committee) "Position Paper Supporting the Inclusion of Schedule Records in the RLIN AMSC Database", April 30, 1990.

9.2.7. Next, the IRP defined the parameters of this exercise in shared appraisal. The IRP determined that it would not attempt cooperative appraisal in the strict sense of the term, i.e., that project members would make appraisal decisions cooperatively. The Project's goals were more modest, providing some underpinnings for eventual cooperative appraisal by examining three relevant issues:

(1) The IRP examined the possibilies of facilitating **comparative** appraisal through identifying the common framework of government records in government hierarchies and legislation. For instance, programs mandated by Federal legislation create records that are very similar and sometimes almost identical. Such similar origins might simplify the process of identifying records series that are parallel across jurisdictional lines and allow for an easier evaluation of the applicability of the shared appraisal information.

(2) The IRP examined the usefulness of shared disposition information in an intergovernmental context. Once similar intergovernmental records are identified, knowing how the records were scheduled at one level, and with what retention periods, could be useful in scheduling the records at another level.

(3) The IRP investigated whether the shared appraisal information provided a broader context which made a difference in the appraisal decision. Was the decision to retain, and the period of retention, totally dependent on factors unique to the Federal or State environment in which the decision was made, or did decisions made at other levels significantly change the basis for that local decision?

9.2.8. Finally, for the purposes of the project, the IRP chose to focus on retrospective conversion of existing appraisal and scheduling information. Wisconsin had already entered relevant records into RLIN, but agreed to assist in searching and evaluation and did, in fact, add some additional records. Virginia and NARA were to enter new records, but they agreed that the data entered would come primarily from existing sources. In the case of NARA, not all schedule items for FWPCA related records would be entered, but only those that were clearly intergovernmental in nature. The records entered by

Virginia and NARA were less useful than they might have been if they had been scheduled with the sharing of information in mind. However, as part of its work in the GRP, Massachusetts did enter new records based on its ongoing effort to schedule the records of several state government agencies that implement parts of the FWPCA. These records, such as RLIN Record #MASV90-A350, show how much intergovernmental information can be amassed and entered, if the intergovernmental context of the records is actively pursued while they are being scheduled.

9.2.9. As part of the joint IRP/GRP venture to enter records for the FWPCA, nearly 200 new water pollution and control records were entered by a number of states and NARA during 1989 and 1990. The majority of the new records were entered by Massachusetts, Virginia, and NARA, with Kentucky, Minnesota, New York, Oregon, and Wisconsin entering smaller quantities of materials. Depending on the search strategy used, older pertinent records of these states were located in the database as well. Exact numbers of records are hard to determine due to variations in access term selection, but by March 31, 1990, there were over 200 FWPCA related records that could be considered for matching.

9.2.10. Although the IRP and the GRP had both agreed to focus on wetlands (Section 404 of the FWPCA) and a specific subject term "wetlands" was selected as an access term, few new wetlands records were entered by any participant other than Oregon. As a result, much of the comparative analysis will be done on other FWPCA records, most notably those relating to water pollutant discharge permits.

9.3. **(Part 2) Types of scheduling and appraisal information entered into RLIN.** The guidelines for the representation of scheduling and appraisal information in the USMARC-AMC format in RLIN, which were developed by the GRP and used by the IRP for entering appraisal information, proved to be adequate for the purpose. This section discusses a number of issues relating to the data entered, part of the process of making the RLIN system more responsive to the particular needs of those sharing appraisal information and the special characteristics of scheduled records.

9.3.1. The first issue discussed by the GRP and the IRP concerning appraisal information was whether disposable records should be entered into the database. The first decision to include such records dates from the early meetings of the Seven States Project.[28] The IRP felt that such records should continue to be included in the database if RLIN was to be useful for sharing appraisal and disposition information. The inclusion of information about disposable records is important for an understanding of the entire fabric of documentation, necessary to properly appraise records. Many of the most interesting findings of the IRP concerned records that were disposable in one place and permanent in another. This is the very information that archivists find most useful.

9.3.2. The IRP also looked for ways to highlight scheduled records in such a way that they could be identified on the title line listings ("MULtiple" display screen) showing hits from a database search. RLIN users have sometimes expressed concern that scheduled records entries mislead researchers who assume that all records identified in a database search are in archival repositories and available for research. The IRP found that by using the term "scheduled records" in the ARC segment RGPN field along with the record group number, this phrase would appear with the other information about the entry on the "Mul" screen.

9.3.3. The IRP identified problems with certain subfields for scheduled records information, for date span, rate of accumulation, volume, and arrangement. This information is frequently not required when agencies schedule records, especially disposable ones. Members of the IRP and GRP have handled this problem differently, and most of the solutions have attractive features and could become standard practice.

9.3.4. The GRP (and by inclusion the IRP) initially wrestled with the question of whether the LDA (used for entering appraisal information) and LDB (used for entering disposition information) fields should be subfielded. The initial decision was to subfield, but that decision was later reversed. The IRP found that, given the limited amount of appraisal information in many, if not most, entries, the LDA and LDB need not be subfielded. Subfielding resulted in the entering of

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[28]Kathleen Roe to Marie Allen, Electronic Mail message dated June 12, 1990, titled "IRP Report Comments."

duplicative information and was unnecessarily complex. However, one item initially required in the subfielded LDA and LDB, and that should be included in either the LDA or the LDB, is the date the appraisal was done. Both Virginia and NARA provided this information, as did Massachusetts, and it was very useful in putting the appraisal itself into context.

9.3.5. As part of the decision to drop subfielding of the LDA and LDB, the IRP/GRP experimented with the use of controlled vocabulary in the two fields. This practice may produce benefits over time, but the vocabulary did not prove useful either in searching or understanding the appraisal statements at this time. This may be because there was relatively little appraisal information entered for many of the records (see Part 5 below), but also the IRP found no reason to search the database for any of the terms that were controlled.

9.3.6. The IRP experienced difficulty in isolating intergovernmental records in RLIN. This subject will be covered in more detail under access terms and search strategies, but one aspect is most logically covered here. Although some common terms were used by all participants, the entire access question remains more of an art than a science, facing two distinct sets of variables: the available series description information and the skill and thoroughness of the person choosing the terms. A more reliable solution to identifying relevant intergovernmental records is the use of the 773 field to link related records to authority records. Agency history records are used to link records of an organizational unit together; cross references in the 773 field accomplish this linkage. Such provenance-based linkages are a good solution for accessioned records because they mirror the way the records are controlled in many institutions. However, the agency hierarchical relataionship may well mask the closer relationships across governmental levels or organizational lines. Traditionally these relationships were handled through subject terms, functional terms, and similar indirect routes. The relationships across organizational lines become even more important in the appraisal and scheduling of intergovernmental records, and the IRP sought ways to clarify these relationships.

9.3.7. The IRP proposed to the GRP a variant of the agency history record type, referred to as a "Statute History Record" (an example is included as Appendix F). For example, there would be an initial record for the FWPCA itself (DCNV89-A32) that described the act and its general provisions. Linked to the statute history record were records for the individual sections of the act such as RLIN Record # DCNV89-A33 for Section 404 concerning wetlands. Individual series of records created in response to Section 404 could then be linked mechanically to DCNV89-33. This proposal allowed for the linkage of records created in different states, at different governmental levels, or from different agencies. As the 773 field is repeatable, a single series could be linked to an agency history record as well as a statute record, with one linkage serving primarily the institution scheduling the records and the other serving to facilitate the sharing of information.[29]

9.3.8. The IRP also proposed using a "schedule summary record" to link all series that were appraised and scheduled in a single document. The content of a schedule summary record is similar to that of an agency history record. It provides the scope of the schedule, an overview of the types of series included, the total number of items scheduled, date approved, and the identity of related schedules. Individual series were then linked to the schedule summary record via the 773 field. In this way, a schedule item can be linked to both the schedule summary record (this supports the institution's control of the records), and a statute record (this supports the sharing of information about specific types of records) if appropriate. Both authority record proposals are pending before the AMSC Program Committee at this time. Just as the agency history record was a necessary addition to RLIN because governmental records have special relationships, the statute record and the schedule summary record meet the needs of those seeking to share information about scheduled intergovernmental records.

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[29]There has been some debate about whether Statute Records are duplicative, given the existing facility for describing statutes in authority files. This viewpoint was expressed by Kathleen Roe (New York State Archives) and Ed Glazier (RLG). The IRP maintained that the existence of this record type in the AMC File provided useful facilities for linkages with records series.

9.4. (Part 3) Access Terms and Search Strategies. One of the problems encountered by the SSP was that lack of consistency in access terms limited the usefulness of the database. The Pennsylvania SSP report was typical in its request that "ALL of the government archives tag ALL of their records with ALL of the appropriate function terms and related ID numbers."[30] Recognizing that this was an major problem, in February 1989 the IRP suggested some terms and procedures for representing intergovernmental relationships in RLIN (reproduced in Appendix A). Comments from IRP/GRP participants lead to several revisions (see Appendix B), and a final list for appraisal records was issued by the GRP Appraisal Working Group in the Fall of 1989 (Appendix C).

9.4.1. The IRP followed the GRP guidelines for access terms which are:

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610 10 United States.$t Federal Water Pollution Control Act.

650 _0 Water$xPollution$z___(Name of State)___

655 _7 Municipal government records.$2aat
655 _7 County government records.$2aat
655 _7 State government records.$2aat
655 _7 Federal government records.$2aat

690 _4 Appraised.
690 _4 Scheduled.
690 _4 Permanent.

9.4.2. In addition to these terms, the IRP used the term "wetlands" in the 690 field to identify records relating to wetlands. These terms proved to be very helpful in searching the database. The IRP found that searches using terms not in the guidelines produced questionable results because institutions assigned different access terms to records that appeared to be the same.

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[30]Pennsylvania State Archives, "Seven States Project: Description" and "Seven States Project: Appraisal", (unpublished papers) ca. 1988.

9.4.3. The best illustration of such questionable search results are the RLIN records for the National Pollutant Discharge Elimination System (NPDES) permit files. Records for NPDES permit files were entered by Virginia, Wisconsin, Kentucky, Massachusetts, New York, and the National Archives. Some of these records were entered prior to the GRP/IRP project, so variation in access terms was to be expected. Even so, the differences were considerable in a number of areas, not the least of which was number of access terms. Kentucky lead with 30 terms, Massachusetts was second with 16, NARA third with 13, and the three remaining states used 9 terms each. In the 650 field the six participants used a total of 25 different terms, of which only 7 were used by multiple institutions.

The following list shows the diversity in access terms used in the 650 field: (terms used by more than one institution are starred)

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* Conservation of natural resources (KY, NY)
Dams environmental aspects (KY)
Dams government policy (KY)
Environmental policy (KY)
* Environmental protection (KY, NARA)
* Factories environmental aspects (KY, MA)
Sewage (NARA)
* Sewage disposal (NARA, WI)
Water conservation (NY)
* Water pollution (NARA, NY, VA, WI)
Water pollution government policy (KY)
Water pollution laws and legislation (MA)
Water quality (NARA)
* Water quality management (KY, MA)
Water supply (KY)
* Water treatment plants (KY, NARA, WI)

9.4.4. In the 655 field, 8 form and genre terms were used (in addition to federal/state government records) and only two of those terms (permits and reports) were used by more than one institution. Of the 9 terms used in the 657 field only one was used by more than one

institution. Three institutions used the 7XX fields for agency cross/ references. Massachusetts and Kentucky entered Environmental Protection Agency in the 710 field and Masachusetts and New York used the 710 field for other state agencies. Massachusetts entered National Pollutant Discharge Elimination System in the 740 field, Kentucky entered "National pollutant discharge elimination permits," and Virginia entered "VPA files" and "VPDES files."

9.4.4. The variation in access terms can be attributed to two sets of factors. The first concerns the structure of the records themselves and their placement within the organizational hierarchy of the agency that created them. As an example, the NPDES permit files in different states are arranged in three different ways. In most States all NPDES permit related records are apparently filed together in a single series (This conclusion is based on a search of records in RLIN. It may in fact be that some states have not yet scheduled all of the NPDES permit files in their State. It is even possible that some states are not aware that additional files exist. See below on the uses of the shared appraisal information). However, in Massachusetts there are two files, one for industrial surface water permits processed by the Division of Industrial Waste Water Management and another for non-industrial permits issued by the Division of Water Pollution Control. In New York and the EPA the division of the records is by function, with the enforcement and compliance records maintained separately from the application files. These differences result in different access terms being selected for files that are closely related functionally when compared across governmental lines. Linking all of these records to a single statute records for Section 402 of the FWPCA would solve this access problem.

9.4.5. In another example, access term selection is influenced by the placement of the records in the organizational hierarchy. RLIN Records # DCNV89-A186, UTSV7784-A, and NYSV87-A243 all pertain to public hearings on environmental questions. In Utah, the records for hearings concerning the FWPCA are maintained by the Bureau of Water Pollution Control. In New York and at the federal level, records of hearings on envionmental questions are maintained centrally, so that the file contains transcripts of hearings on all pollution questions, including air and hazardous waste as well as water. This results in different access terms being assigned.

9.4.6. Another reason for different access terms for similar records can be traced to the descriptive information available. If an institution had a detailed description of the records, a greater variety of access terms could safely be applied. It is also clear from some of the records reviewed that the limited amount of descriptive information available severely restricted the number of access terms, especially form and genre and function terms, that were used. It comes as no suprise that an analysis of the NPDES records shows a direct correlation between the length of the description in the 520 field and the number of access terms used.

9.4.7. The third reason for differences in the choice of access terms appears to be the result of variations in institutional practice. Using as an example the NPDES compliance files in EPA regional offices and New York, the different access terms were selected by NARA and the New York State Archives apparently reflect a different view of the files, or perhaps different institution- specific access term strategies. Both institutions used "water pollution" and "water quality" as access terms, but there was no common ground among the other 8 terms they two used. New York's access terms pointed toward conservation and sewage, while NARA's choice of terms reflected a conception of compliance as a legal question.

9.4.8. With only a limited number of records to work with, and a wide variation in access terms, it quickly became apparent that the key to a successful search was not narrowing one's search sufficiently, but broadening it to include all possible variations. This was especially true because a number of the records had been entered prior to the IRP/GRP agreements on indexing terms. The most successful searches resulted from using the access terms from the guidelines in combination with each other. LCSH terms were used exclusively for the subject word ("sw") and subject phrase ("sp") searches, but an examination of the records encountered indicated that few non-LCSH terms were actually used as access terms in the records retrieved.

cp United States.$tFederal Water Pollution Control Act (FWPCA)

FWPCA	65 hits
FWPCA and fg state government records	18
FWPCA and fg federal government records	45
FWPCA and sw wetlands	11
FWPCA, federal government records and wetlands	11
FWPCA, state government records and wetlands	0
sp Water$xpollution# (WP)	211 hits
WP and fg state government records	74
WP and fg federal government records	59
sw wetlands	124
wetlands and fg state government records	102
wetlands and fg federal government records	15
sw water quality management (WQM)	136
WQM and fg state government records	74
sp WQM and fg state government records	13

9.4.9. In each case various permutations were tried including truncations and use of the form/genre ("fg") terms "state government records" or "federal government records", in combination with the other terms. Generally the best strategy was to truncate the subject phrase and use state or federal government records. Truncation allowed for geographic subdivision of the terms, and restricting the search to state government records excluded many items not suitable for comparison. Limiting the search using "fg state government records" or "fg state# or federal#" frequently reduced the number of hits by one-third.

9.4.10. Additional searches turned up a lower number of hits and, after analysis, few records that did not appear in the searches listed above. Terms searched included water quality management, sewage, sewage disposal plants, water treatment plants, drinking water, water supply, and monitoring water. RID searches were done as well. Examinations of the records retrieved in these searches showed that, due to inconsistent access term selection, these searches did not produce the whole universe of related records.

9.4.11. Looking at some of the searches in greater detail, the single most successful search was the broadest: "sp water--pollution# and fg federal# or state#". Truncating water--pollution allowed for retrieval of records in which the subject phrase had been geographically subdivided. It yielded 131 records and provided the most comprehensive list of useful records for intergovernmental comparisons. A number of other searches were run and the following table shows the basic results of other useful searches.

9.4.12. Searching using the terms "wetlands" produced 124 records, and an examination indicated that, at most, 21 were potentially intergovernmental in nature. A detailed review found few common access terms among them. What did emerge from the "wetlands" search was the identification of some series, notably two series from Virginia, that were similar to records given totally different access terms by other institutions.

9.4.13. Searching using "United States - Federal Water Pollution Control Act" brought up 18 records, exclusive of those entered by NARA. Although all of them were useful in the study, the search was far too narrow on two counts. First, records entered prior to 1989 were frequently not indexed under the FWPCA, and, second, the potential intergovernmental aspects of many records were apparently not recognized by those selecting the access terms for them. This latter point will be discussed below under description.

9.4.14. Searches based around traditional types of form and genre terms and function terms proved to be less useful than had been anticipated. In part this was because they were not used by all participants or were used inconsistently. This can be clearly seen in the NPDES permit related series. There were 19 entries considered under permit files of various types under Sections 401 or 402 of the FWPCA. Of those, 9 used no form and genre terms other than state / federal

government records. The following terms were used in one or more of the entries:

Applications (MA, NARA)
Case files (MA, NARA)
Correspondence (MA)
License (NARA)
Maps (MA)
Memorandum (NARA)
Microforms (WI)
Order (NARA)
Permits (KY, MA)
Reports (MA, NARA)
Transcripts (NARA)

9.4.15. Interpreting the usefulness of the form and genre terms based on this small sample is difficult. On one hand, some series for Kentucky, Massachusetts, and NARA would have been located using the two most obvious terms - case files and permits - and four of the 11 terms were used by more than one institution. However, the records of at least three states would not have been identified in such a search, and not even all of the NARA records would have been retrieved using those four terms.

9.4.16. A basic problem appears to be that different institutions approach the terms differently. Massachusetts used a number of form and genre terms for each series, Kentucky generally used one per series, and NARA's practice varied. One would have to search on three form and genre terms - case files, licenses, and permits -to locate most of the entries for NPDES permit files for Kentucky, Massachusetts, and NARA due to different access term selection. In the case of Kentucky, the form and genre term selected for its files was permits, which was the term used in the series title. From the description of the records, case files would have been an equally appropriate choice. Kentucky did use case files as a form and genre term for another series, but it was one in which case files was used in the title.

9.4.17. Unfortunately, not enough entries included a sufficient number of form and genre terms to support firm conclusions. Hopefully the GRP experience will shed more light on the usefulness of these terms as well as provide guidance for selecting them. Another question that needs further study is exactly how useful form and genre terms are for appraisal comparison. Given their limited use in the test records, it is difficult to say whether they will prove to be a useful access point.

9.4.18. The same can be said of function terms, where even fewer entries were made. Both Massachusetts and NARA used "monitoring water" in some of their records, but no other institution followed that practice. Other States, including Kentucky, Minnesota, Utah, and Virginia did use function terms for certain series, but it is difficult to demonstrate any consistency in use between institutions (There is relatively stong consistency of use within institutions). Investigating, monitoring, inspecting, reporting, and reviewing are function terms used for the FWPCA related records. Most of them probably could be used for any series, so the question is whether the variation in usage is due to differences in the records, the descriptions of the records, the descriptions of the functions of the agencies responsible for the records, or the views of those selecting access terms.

9.4.19. In the case of both form and genre terms and function terms the terms selected are consistent and understandable within the context of the institution entering the records. The problem is the lack of consistency between institutions. To effectively share information between institutions for appraisal purposes, the institutions involved must agree on at least a basic number of common access procedures to ensure that relevant series can be efficiently accessed.

9.4.20. Based on the IRP's experience, four recommendations can be made that will assist in the identification of intergovernmental records and the matching of records across governmental lines. These recommendations should not result in much change in the way most IRP/GRP members select access terms, but would result in greater confidence in the completeness of searches.

9.4.21. (1) The use of terms such as "United States. Federal Water Pollution Control Act" on a consistent basis, does assist in the identification of intergovernmental records, and in limiting searches to relevant records. LCSH allows the further subdivision of the FWPCA by section, and that should be encouraged as well. FWPCA is normally indexed in the 610 field and the $n subfield can be used to identify a specific portion of a piece of legislation. Using this proposal, a 610 entry for Section 208 of the FWPCA would be "United States.$tFederal Water Pollution Control Act.$nSection 208."

9.4.22. (2) In the area of subject access, it would seem best to continue using LCSH catalog terms exclusively for shared accesss points. Given the makeup of the IRP and GRP, preference should be given to terms that can be geographically subdivided. To allow for some flexibility in dealing with the various types of records created under the FWPCA, some additional common access terms could be selected for the 650 field to be used in addition to "water--pollution". Terms might include drinking water, water quality, and sewage disposal, all of which can be geographically subdivided. Further, a search on "sp water quality#" for example, would also bring up water quality-measurement, water quality management and its variations, and water quality monitoring stations. By choosing the common terms judiciously, government archivists can provide both flexibility and shared access.

9.4.23. (3) The IRP found that searches using function terms and traditional types of form and genre terms were of less value for these particular purposes. A number of factors may contribute to this, including the particular types of IRP searches, the relatively recent development of protocols for function terms and the somewhat infrequent use of form/genre terms by the IRP/GRP. This illustrates the need for guidelines in all areas of access point selection. The GRP, primarily through the work of Alden Monroe and Kathleen Roe, have produced an important document in this area, Guidelines for Using the AAT Functions Hierarchy With Archival Records. Additional useful work could be done on standard access term methodology for intergovernmental records. Proposals include using both federal government records and state government records as form and genre terms for a series that consisted of forms transmitted from states to the EPA; using the term intergovernmental records in the 655 field; using

statute records; or using more specific agency names in the 610 or 710 fields.

9.5. **(Part 4) Description Issues.** The IRP's decision to rely on existing descriptions of scheduled series limited, but did not negate, the usefulness of the descriptive information in matching series. In this area the experience of the IRP was the same as that of the SSP, where the quality of the series descriptions varied widely. In New York's view, "the majority of records retrieved during searches did not contain adequate descriptive information to be useful."[31] The records the IRP studied were usable in a general way, but often lacked the specific information necessary for comparing records series and appraisal decisions.

9.5.1. The IRP concluded that effective intergovernmental comparisons of records in RLIN would require that more information on the intergovernmental nature of the records be collected. The RLIN records recently entered by Massachusetts clearly demonstrate the possibilities in this area, and those records can stand as models of descriptions of intergovernmental records. A sample Massachusetts record is included in this report as Appendix L. However, with the exception of the Massachusetts records, most of the records compared by the IRP lacked certain essential information that would have made comparisons easier and relationships clearer. Although some NARA schedule series descriptions indicated that information submitted by the states was included, a fuller description would have simplified the task of matching series. The same is true on the State level.

9.5.2. Although limited descriptive information is a common problem in RLIN, it is more difficult to remedy with scheduled records for three fairly obvious reasons. First, a major problem with using schedule descriptions is that they are created primarily to identify records in sufficient detail to permit them to be scheduled, rather than as full archival description. Different institutions have different requirements on the amount of detail necessary in a schedule item. When records were scheduled some time in the past, it is not easy to produce supplementary information to

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[31]New York State Archives, "Report on Test of RLIN Scheduling Data" (unpublished report, April 11, 1988), p. 5.

flesh out otherwise sketchy descriptive information because the records are most often not in the institution's custody.

9.5.3. Second, it is necessary to collect and include additional types of information about the records to clarify their intergovernmental nature. The descriptions of most series in the database do not contain sufficient information about the intergovernmental nature of the records to establish clear relationships across governmental lines. Searching the RLIN database brings up tantalizing series descriptions such as "Permits applying to stream protection, tidal wetlands, freshwater wetlands, and records on related public hearings." These records may be intergovernmental in nature, but it is impossible to determine that from the description. In reviewing the entries retrieved by the search "sp Water$xPollution#" numerous instances were found in which State level series began between 1970 and 1972 and contained records that, at a minimum, parallel records States must maintain to report spills and discharges of hazardous wastes to the federal government. Yet there was no mention of the intergovernmental nature of these records. On the federal side, the EPA schedule item for Section 305 Reports to Congress (DCNV89-A105) did not mention the fact that the report to Congress was based on submissions by the States. Fortunately the appraisal memorandum contained a note that the copies of the State submissions to EPA were disposable. That note was included in the appraisal memorandum only because the decision to dispose of the reports reduced the volume of the series considerably.

9.5.4. Third, the types of information most useful in describing intergovernmental records -- form numbers, identity of the office that submitted or requires the records, or a simple reference to the fact another governmental organization is involved -- are most often left out. One wetlands records series description begins "Project documents, progress reports, to U.S. Fish and Wildlife Service, etc. in connection with wetlands acquisition." It is clear that these records are intergovernmental, but the exact nature of the relationship is unclear and actual matching is difficult. Descriptions of Federal records can be equally unhelpful. An EPA series titled "Committee of Ten-State Federal Water Program Advisory Committee" includes records of 10 states that advised the EPA during the initial phase of the FWPCA. The description neglects to mention the states that served on the committee.

9.5.5. For the best possible chance of matching the records across governmental lines, a complete citation to the legislation involved is essential. Massachusetts entries such as MASV90-A374, provide a clear description of the section of the FWPCA to which the records relate. This together with the text of the FWPCA itself, should allow comparisons of appraisal for parallel series as well as administratively-related records. For most institutions the basic problem, as has been alluded to before, is that frequently older schedules do not contain the information necessary for such a detailed description. Even without it, however, the IRP was able to match series across state lines with a fair degree of confidence.

9.5.6. The best example of such matched series concerned approximately twenty entries from five States and the federal government scheduling permit files for the National Pollutant Discharge Elimination System (NPDES). Section 402 of the FWPCA (see DCNV89-A240 for a ful description of section 402) authorized the creation of the NPDES, and the authority to issue permits was delegated to individual States. Descriptions of the files were similar across governmental lines and, since most entries referred to the NPDES if not the statute section number, searchers can be relatively confident that they are viewing similar records. Degrees of certainty varied from complete, as in entries from Virginia and Massachusetts that identified the records as created in response to the related Section 401 of the FWPCA, to fairly confident in the case of the NPDES permit files.

9.5.7. There were two major difficulties posed by the NPDES files, concerning parallel records and hierarchically-related records. First, the records of parallel functions are not always kept in parallel fashion. As noted in the previous section, Kentucky and Wisconsin apparently maintain all records, including the permit application records, monitoring records, compliance records, and other similar records together in a single file. Others, including the Federal EPA and New York State, have separate files for each of these activities. Obviously the descriptions of these files will be different, because they serve different functions in their respective States. This means that entries will overlap, but a one-for-one comparison is not possible. If a searcher is familiar with the records this will not pose a problem, especially if all descriptions include references to the FWPCA, as was the case here. The impact of the

different filing arrangements and coverages on appraisal decisions is more difficult to assess.

9.5.8. With hierarchically-related records, it is not always clear what State records are duplicated at the EPA regional offices, due to sketchy descriptions of the EPA records. The EPA regional offices have NPDES permit files (DCNV89-A245) for permits issued "by EPA regional offices or authorized State agencies." This may mean that copies of all records relating to the issuing of permits by a State such as Massachusetts (see MASV90-A364) should be duplicated in the EPA file, but that is not entirely clear. Due to the lack of detailed description, it is even less clear whether the EPA regional office permit comliance monitoring files (DCNV89-A242) duplicate the Massachusetts permit compliance files (MASV90-A374). Similarly, both New York and the EPA maintain files concerning public hearings. There is no indication in the descriptions of the series whether they cover the same hearings or different ones, are complementary or duplicative.

9.6. **(Part 5) Appraisal Issues.** In the case of both descriptive and appraisal information, the amount and type of information available for entry into RLIN is a direct consequence of what is required of the parties involved in the appraisal process. Appraisers provide the information their institutions require or the information necessary to obtain the approval of the appraisal. This is minimal in many cases, especially for records that are clearly permanent or disposable. If the RLIN appraisal records are to be improved, institutions will have to make an additional effort to acquire more information about the records and document their appraisal decisions better than they have felt the need to do until now.

9.6.1. By and large, the records examined in this case study had little in the way of hard appraisal information, i.e. clear presentations of why records were appraised as permanent or disposable. (Disposition information on the other hand was easily obtainable.) Typical of the LDA fields for disposable records was the following from NYSV87-A1710: "The retention meets agency requirements." This does not provide the sort of analysis that some proponents of shared appraisal information desire, although it does allow an experienced appraiser to intuit how the

decision was made. NARA schedules and appraisal memorandums were silent on the rationale about so many appraisals that a standard format was developed which read "Administrative, legal, and fiscal value to the agency cease after _____ years. Records have (or do not have) sufficient legal, informational, or evidential value to warrant permanent retention."

This experience mirrored that of the SSP, which found appraisal information to be extremely scarce. Pennsylvania's report summarized the SSP's findings:

> "Most of the appraisal statements found were very brief, and covered only one or two of the numerous criteria which should have been considered in appraising a record. However, our OWN corrections appraisal statements that were entered into RLIN have the same problem."[32]

9.6.2. Similar feelings about the lack of useful appraisal information are found in all of the reports, and some SSP members questioned the usefulness of sharing appraisal information generally unless quality was improved. Even though the IRP found the same lack of detailed information about how appraisal decisions were made, the IRP found that some useful information could be gleaned from the LDAs for disposable records. Again using the entries for the permit files as examples, the most commonly stated rationale for disposal was that the records had outlived their administrative usefulness. The second most common rationale was that the information was summarized or duplicated elsewhere. Both Massachusetts (MASV90-A359) and New York (NYSV89-A1329) refer to the fact that copies of records from these series exist in Federal EPA files. In the case of the New York series the EPA records are permanent, but the Massachusetts reports are disposable in paper form in the EPA regional offices. To what extent the information in the Massachusetts reports ends up in one of the permanent databases is unclear from the descriptions. At the Federal level, the EPA permit and compliance paper case files were disposable because the major information was entered into two databases (DCNV89A-179 and 180), both scheduled for permanent retention.

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[32]Pennsylvania State Archives, "Seven States Project: Appraisal" (unpublished paper), ca. 1988, p. 3.

9.6.3. The rationales for retaining records permanently were frequently just as sketchy, although appraisal information for records scheduled for permanent retention in recent years tended to be better than that for series scheduled in the 1970s. The appraisals for the two EPA databases do little more than assert that they will be useful for the study of pollution and pollution abatement. The RLIN record for Virginia's State Policy Advisory Committee records (VASV89-A91) states that the "records have high evidential value." Even limited information about appraisals can be illuminating, however. Records of public hearings are retained permanently by Utah, New York, and EPA, but the reasons for retention vary. Utah and NARA indicate that the records have research value, while New York retains them because of potential legal value.

9.6.4. In none of these examples does the appraisal statement offer any details about how or why the conclusion was reached. Perhaps "justification" was not necessary for the internal record of the institution. That is definitely the case for the NARA records. Using Minnesota's RLIN record (MNHV87-A551) for water quality management plans as an example, the description contains repreated references to policy planning materials, reports, and policy analysis records. Because the value of the records is conveyed by the description, it is clear that the series has "both administrative and evidential value in documenting the progressive development of the State's water quality management planning" and further elaboration from an appraisal perspective is superfluous.

9.6.5. Two exceptions to this general rule were found during the searches, and, in the words of the old saw, the exception proved the rule. The first is a Massachusetts record for NPDES permits (MASV90-A364). In most other States these permit files are disposable, but Massachusetts came to the opposite conclusion. The Massachusetts RLIN record provides an explanation of why the records were appraised as permanent despite the existence of other files, including the EPA databases identified in RLIN.

9.6.6. The second exception is the RLIN record for the EPA Underground Injection Control Files maintained by Federal EPA regional offices (DCNV89-A239). This entry includes an extensive explanation of why the records were appraised as permanent and how they relate to other records at both the Federal and State level. The appraisal distinguishes between files for injection wells for which EPA issues the permit (permanent) and those for wells permitted by authorized States (disposable). The extended appraisal statement reflects the circumstances surrounding the appraisal. The EPA had recommended all of the files for disposal and the reversal of that recommendation had to be explained during the appraisal review process. Moreover, the appraisal was seen at the time as a model for how NARA should deal with records of an EPA function where authority was split between the Federal and State levels. According to the theory proposed in the appraisal, NARA would only be responsible for preservation files where the Federal agency issued the permit. Although the files for permits issued by States were of equal informational value, NARA was not going to assume the responsibility for their preservation.

9.6.7. In both cases the appraisal was to some extent controversial, and therefore an extended explanation (perhaps defense) was a necessary part of the appraisal record. Leaving those two exceptions aside, the review of FWPCA related appraisal records found little concrete information about the hows and whys of appraisal decisions. Apparently either very little analysis is necessary in most cases, or very little documentation of the analysis is required, or both. This is definitely the case at NARA, where the appraisals of many types of records use full explanations only if the decision is unusual or controversial. Unless institutions can be convinced that additional documentation is necessary, sharing of strictly appraisal information will offer limited benefits.

9.6.8. The same was not true of disposition information. Admittedly many of the LDB fields simply state that the files are no longer needed for current business and assign a retention period. However, even minimal disposition information can be useful for both

parallel and hierarchically-related records. In the case of parallel records such as permit enforcement files, just knowing that New York and Wisconsin retain compliance related records 10 years would assist any appraiser who is trying to schedule such records in another state. Massachusetts records offer more help because they cite the Code of Federal Regulations section (40 CFR 142.14) that sets retention requirments for a variety of NPDES enforcement records maintained by States with primary enforcement responsibility. In a similar example both Utah (UTSV7774-A) and Massachusetts (MASV90-A384) cite 40CFR30.500 in scheduling the records relating to construction grants. Such citations will assist other institutions in setting retention for records of this type in their states.

9.6.9. When series are hierarchically related, the disposition information about records maintained at another governmental level may or may not influence the appraisal decision, but is important to have in any case. Massachusetts and New York reached opposite conclusions when they appraised their SPDES permit files, but the appraisals were stronger because they consciously considered the existence of related Federal records. States can now query the database concerning the disposition of a variety of reports, plans, and correspondence submitted by states to EPA, and use the information as they see fit in their appraisal and disposition decisions. From the federal perspective, it is frequently assumed that the primary responsibility for records submitted by States to EPA lies with the States. Yet RLIN records entered by several states make passing reference to the fact that copies of the reports are sent on to EPA, and later appraise the documents as disposable. Shared disposition information gives all government records appraisers the option of checking how the other level of government has actually appraised the related records, thereby improving the quality of the decision.

9.6.10. These examples assume a one-to-one or nearly one-to-one relationship among different series. The appraisal records in RLIN may be important as an outline of the overall record keeping context in which individual series can be appraised. One of the most common problems facing an appraiser is determining the universe of existing records. The most obvious reaction to the FWPCA records in the database is the asymmetry between the records scheduled by the different institutions. There are numerous Federal

records series in the database that lack State counterparts. In many cases records relating to a certain section of the FWPCA are scheduled by one State and not another. RLIN provides appraisers with clues about what other unscheduled and unidentified records may exist in their own States that might impact on the appraisal. Minnesota and Massachusetts have clearly identified their statewide water quality management plans required under section 208 of the FWPCA, and appraised them as permanent. One strategy for using the database would be for other states to use these descriptions of records to investigate where in their state bureaucracy these potentially valuable records may be found. The appraiser could also learn that printed copies of State water quality management plans submitted under both the 303(E) basin planning program and the 208 areawide planning program are appraised as permanent in the Federal EPA regional offices (DCNV89-A263).

9.7. **(Part 6) Recommendations for Further Work.** One need only try one's hand at the RLIN database for a brief time to realize its potential for improving the quality of appraisal and disposition decisions concerning intergovernmental records. By providing ready on-line access to a variety of interrelated records at various governmental levels, RLIN enables appraisers to better grasp the context of the series in front of them, learn how others have appraised and scheduled the records, and gain additional knowledge about the records and their usefulness. This is all because the records are organized within a framework of a federal statute that ensures rough parallelism between records at the State level, and sets up hierarchical reporting relationships.

9.7.1. The IRP, with assistance from the GRP, has demonstrated that linkage of intergovernmental records via statutory authorities is both possible and useful. However, it was equally clear that many older records were not sufficiently well described to make them useful for intergovernmental comparisons. To maximize the utility of the data, it will be necessary to redescribe many records to emphasize their intergovernmental character and index them in a fashion that will facilitate searching. In some cases this will involve additional agency contacts to acquire more information about scheduled records. Such work is best done as part of a new project to inventory and schedule these records or a major project to resurvey and reschedule records previously appraised. In either

case, making the descriptive and scheduling information useful in an intergovernmental context will mean that additional staff time will have to be devoted above and beyond what would be required for the institution's own use. The IRP suggests that such projects be organized with grant support utilizing participants from Federal/State/Local government archival institutions.

9.7.2. The IRP also found, however, that government archivists must work to coordinate access points and methodology. The IRP's review of the appraisal records clearly shows that different institutions approach the question of sharing information differently, and many have arrived at inovative solutions for expressing intergovernmental links. Kentucky for example, named the Federal EPA as an alternate creator (710 field) in describing its NPDES files. Other proposals include shared authority records, the use of "intergovernmental records" in the 655 field, or naming both governmental levels (state government records and federal government records) in the 655 field as ways of expressing these relationships. What is necessary is for governmental archivists to agree on a cooperative methods of expresing these relationships. Guidelines are also needed on the use of form/genre terms and function terms for the sharing of appraisal information. Such guidelines might benefit from the experience of the IRP and the GRP and the comparison of the manuals of practice that the participants are preparing as part of the project.

9.7.3. As part of the IRP, NARA has begun to advertise its willingness to share both disposition and appraisal information with other government archivists. The sharing of such information is complicated by its quantity; the Records Appraisal and Disposition Division (NIR) approves some 7,000 new disposition authorities per year, far more than it could ever enter into RLIN. Even accomplishing RLIN data entry for records of a clearly intergovernmental nature would be a major task, inadvisable without a clearly demonstrated demand for the data from other government archivists. As an interim step, NIR should continue to provide assistance to other government archivists on an as-needed basis, answering questions by telephone and providing copies of schedules. Individual records series that are frequently requested, such as the schedule for the Federal Elections Commission, might be targeted for RLIN entry.

February 9, 1989

MEMORANDUM TO: MEMBERS OF THE RLG GOVERNMENT RECORDS PROJECT'S DESCRIPTIVE STANDARDS/SEARCH STRATEGIES COMMITTEE AND APPRAISAL COMMITTEE

FROM: FRANK B. EVANS, DIRECTOR, NARA INTERGOVERNMENTAL RECORDS PROJECT

MARIE ALLEN, NARA MEMBER OF STEERING COMMITTEE AND DESCRIPTIVE STANDARDS/SEARCH STRATEGIES COMMITTEE

MIKE MILLER, NARA MEMBER OF APPRAISAL COMMITTEE

SUBJECT: PROPOSED TERMS AND PROCEDURES FOR REPRESENTING INTERGOVERNMENTAL RELATIONSHIPS IN RLIN

Background

As part of the program proposal for the Government Records Project (GRP), several categories of intergovernmental records were proposed for data entry. The National Archives (NARA), the Virginia State Library and Archives and the Wisconsin State Historical Society were already committed (as part of NARA's Intergovernmental Records Project (IRP)) to entering new records or updating existing records in the RLIN database in these categories, to the extent practicable. As part of the program proposal, the other participants in the GRP were also encouraged to do so.

Most of these categories consist of accessioned records with a history of dispersion due to historical accident or other causes (federal records in non-federal custody, state/local government records in federal custody, non-population censuses, WPA and related New Deal agencies' records, territorial records, pre-federal records). One of the categories, naturalizations, consists of similar records located in repositories at several levels of government due to parallel governmental functions. All of these categories include closely-related record series (in some cases, parts of the same original series) for which the sharing of descriptive information in the RLIN database would benefit researchers and archival staff.

Due to the GRP's, and the IRP's, interest in testing the value of shared appraisal information, two additional categories have been defined for scheduled, or recently accessioned, modern records: records relating to wetlands (as defined below) and federal

education grants to the handicapped. NARA is also planning to enter into the RLIN database selected scheduled series relating to elections, at the request of the Archives of the Commonwealth of Massachusetts.

Proposal

The purpose of the IRP is not only to enter descriptions of similar records at different levels of government into RLIN, but also to examine the relationships between these descriptions. Such an examination will answer some of the questions about the usefulness of shared intergovernmental data for accessioned as well as scheduled records. However, experience suggests that inconsistency in the application of access terms in RLIN is sometimes a deterrent in the comparison of entries across institutional lines.

To facilitate the identification and examination of related entries, the GRP Steering Committee suggested that NARA propose conventions for representing intergovernmental linkages in the USMARC-AMC format, as implemented in RLIN. Accordingly, listed below are recommendations for common access terms or descriptive procedures for each of the intergovernmental categories. This proposal includes recommendations for linkages of several different types:

(1) common subject terms
(2) form/genre terms
(3) shared agency history records
(4) note field references (fields 544 and 535)
(5) future prospects for facetted indexing.

These recommendations are based on the assumption that common access points or methods should be defensible and useful for general descriptive purposes, without reference to the specific objectives of the IRP or even the GRP. We have examined the database to identify terms already used for these categories and have, whenever possible, incorporated those into our recommendations. Also, whenever possible, we have used established terms from the LCSH and the LC Name Authority File.

Please give us your comments on this proposal by March 15, 1989, by electronic mail or at the address/phone number listed at the end of this memorandum.

(1) SUBJECT TERMS FOR INTERGOVERNMENTAL CATEGORIES

Naturalizations

650 b0 $aNaturalization records

Pre-Federal records

Use one or both, as appropriate:
651 b0 $aUnited States$xPolitics and government$xRevolution, 1775-1783.
or
651 b0 $aUnited States$xHistory $xConfederation, 1783-1789.

Federal education grants to the handicapped

Use both:
650 b0 $aFederal aid to education.
650 b0 $aFederal aid to handicapped services.

Territorial records

690 b4 $aterritorial records$z(name of territory)

WPA and related New Deal agencies

Use one of these four corporate names, as appropriate:
610 10 $aUnited States.$bWorks Progress Administration.
610 10 $aUnited States.$bFederal Civil Works Administration
610 10 $aUnited States.$bFederal Emergency Relief Administration.
610 10 $aUnited States.$bWork Projects Administration.

If appropriate, select also from the following list of corporate names of significant WPA projects:
610 20 $aFederal Art Project.
610 20 $aFederal Music Project (U.S.).
610 20 $aFederal Theatre Project (U.S.).
610 20 $aFederal Writers' Project.
610 20 $aHistorical Records Survey (U.S.).
610 20 $aHistoric American Buildings Survey.
610 20 $aSurvey of Federal Archives (U.S.).
610 20 $aHistoric American Merchant Marine Survey.

Non-Population Censuses

Use the first term always, and choose one or more from the other terms:

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6 5 1    b 0    $ a U n i t e d    S t a t e s
     $xCensus,(number),(year).
690 b4 $aMortality census.
690 b4 $aAgricultural census.
690 b4 $aIndustrial census.
690 b4 $aSocial statistics census.
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Wetlands

Use one or both:

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650 b0 $aWetlands$c(name of state)
 $z(other place subdivision).
690 b4 $aClean Water Act (1972,1977).
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(2) FORM/GENRE TERMS

Many RLIN data entries include the form/genre terms "state government records" or "local government records." In order to be consistent with this practice, NARA will include the term "federal government records" in Field 655 of our entries, where it is appropriate, and propose that the Art and Architecture Thesaurus add the term to their current lists. Several GRP participants have suggested that this practice would be more useful, and more consistent with existing practice, than the use of the term "intergovernmental records" for all federal/state/local records in the targeted categories.

(3) SHARED AGENCY HISTORY RECORDS

For those GRP participants who wish to do so, NARA proposes that we share agency history records for linking purposes in at least three of the categories described: WPA and territorial records (accessioned) and wetlands (scheduled). Experimenting with use of the same agency history record, across government levels, will provide information on the value of this technique.

The **WPA** and its related agencies established a nationwide system of regional, state and district offices during the 1930's and 1940's. By relating agency history records for these hierarchies, we establish links in our descriptions that were present in the original agency hierarchies.

NARA has established four agency history records in this area: Civil Works Administration (CStRLIN)DCNV89-A1), Federal Emergency Relief Administration (CStRLIN)DCNV89-A0), Works Progress Administration (CStRLIN)DCNV89-A2), and Work Projects Administration (CStRLIN)DCNV89-A4). At least one state already has an agency history record for a state unit closely related to these organizations (see the State Emergency Relief Administration (CStRLIN)MNHVG0038-A). If GRP members wish to do so, they could reference the related federal entities in the 773 field of such a state agency history record, so that an RID search produces not only the NARA series for that federal entity but also the related state organizations. Such a hierarchical link would also facilitate the comparison of related state holdings.

In preparing **territorial** records for data entry, we have noted that some of the states have prepared agency history records for territorial governments (see Mississippi Territory, (CStRLIN)ALAV86-A196) and Alabama Territory (CStRLIN)ALAV86-154). Many of the territorial governments do not seem to be represented by agency histories, however. As both NARA and the states enter records into the database for the territories, would it be useful to establish a list of territorial agency history records, for possible use in the 773 fields of all related series descriptions, regardless of originating institution? If this is considered desirable by the Steering Committee, and RLIN, NARA could supplement the existing agency history records to create one for each territorial government.

With particular reference to the description of scheduled records in the subject area of **wetlands**, NARA proposes that agency history records be utilized for the purpose of describing the requirements of a statute: the Clean Water Act. We recognize that such an application is not established practice, although the agency history record has been used for such varied purposes as constitutional convention histories and individual governor's administrations. We welcome your negative or positive comment on this possible application. The 7 States Project established many creative applications of MARC fields for the more effective representation of scheduled records. This proposed use of the agency history record is in that innovative tradition, and would enable more effective linkages between records descriptions at different levels of government.

The term "wetlands", is generally understood to include swamps, marshes, bogs, estuaries and similar areas once considered suitable only for filling or draining, but now regarded as important environmentally and ecologically. Federal agencies involved in wetlands include the Corps of Engineers, Environmental Protection Agency, National Marine Fisheries Service of the Commerce Department and the Fish and Wildlife Service of the Interior Department.

Federal regulation of wetlands development, and related state responsibilities, are exercised through Section 404 of the Clean Water Act of 1977. For experimental purposes, NARA has established agency history records for the Clean Water Act of 1977 (CStRLINDCNV89-A32) and Section 404 of that Act (CStRLINDCNV89-A33). We propose that we and other institutions use the most appropriate one of these two citations in the 773 field of scheduled series descriptions or general schedule records. By relating scheduled records descriptions (and perhaps some accessioned records) through 773 field links to the authorizing statute agency history record, we avoid dealing with the complexities of the governmental hierachies and structures implementing the statute. We establish a direct link between those records relating to the implementation of the statute, whatever the government level or particular federal/state/local structure.

Our preliminary work in comparing scheduled records across government levels has suggested that the requirements of a particular statute leave the most obvious and discernable paths. If this approach proves useful to GRP members for wetlands, it might be worth using for a single federal statute in the area of education grants to the handicapped, NARA's other proposed scheduled records category.

(4) NOTE FIELD REFERENCES

Two of the categories described above are more general than the others: federal records in non-federal custody and state/local records in federal custody. Although we have identified several subject categories of dispersed records (WPA, non-population censues, etc.) we recognize that there may be many other records of this type. These are records that are hard to find by researchers and little publicized by their custodial institutions because they are not related to the institution's primary holdings. These records may be pieces of series located in another institution or duplicate records.

We propose that we agree to share information about this type of record through the RLIN database and electronic mail. For instance, when GRP members identify federal records in their holdings, we propose that they enter these records descriptions into the RLIN database, and notify NARA by RLIN electronic mail of the ID numbers for the entries. NARA will identify related records, if possible; enter a description of the NARA record into RLIN, with the related record cited in a 544 field, or duplicate record cited in a 535 field; and notify the originating institution by electronic mail of the NARA entry's ID number. NARA will repeat this process, in reverse order, for state/local records in federal custody, identified as part of the IRP.

(5) FACETTED INDEXING FUTURE PROSPECTS

One of the most interesting new developments in the format is the 654 field. We only mention this field briefly, as something to explore in the future for the purposes of the IRP, because information about it is not yet widely available. Kathleen Roe has suggested that use of the facetted indexing capabilities of the 654 field would enable us to construct an index string, using the four categories of intergovernmental relationships, defined in a separate memorandum. A records series duplicated in both federal and state holdings might be represented in this field by the following string: federal government records--state government records--duplicate.

CONCLUSION

In summary then, we have identified techniques for common access strategies for seven targeted categories of intergovernmental records, including both accessioned records (naturalizations, pre-Federal, territorial, WPA, and non-population censuses) and scheduled records (Federal education grants to the handicapped and wetlands). For these categories, we propose that we agree on common subect access terms, form/genre terms, and shared agency histories. We have also proposed a method for sharing information about federal records in non-federal custody and state/local records in federal custody.

We will look forward to receiving by March 15 your comments or questions concerning these proposals. Address comments to Marie Allen (NI), National Archives, Washington DC 20408, telephone (202) 724-0137; electronic mail code bm.nal. Marie will compile comments for the next meeting of the Steering Committee, April 1, 1989.

FRANK B. EVANS
DIRECTOR
INTERGOVERNMENTAL RECORDS PROJECT

MARIE ALLEN
DEPUTY DIRECTOR
INTERGOVERNMENTAL RECORDS PROJECT

MIKE MILLER
ARCHIVIST
RECORDS ADMINISTRATION DIVISION

Date: March 31, 1989

MEMORANDUM TO: GRP STEERING COMMITTEE MEMBERS

FROM: MARIE ALLEN
NARA MEMBER OF STEERING COMMITTEE

SUBJECT: SUMMARY OF RESPONSES TO INTERGOVERNMENTAL LINKAGES MEMORANDUM

I. Subject Access Terms

General Comments

WISCONSIN: "All of the proposed methods are worth experimentation as a means of building a body of related descriptions which then can be evaluated for the usefulness of their being linked....Many of these common access points perhaps will occur naturally within the descriptive process. Once we see the results of this approach we wonder if we will see a need to discriminate within a large body of search results yielded by common subject headings by a more specific method of linkage....As we apply these terms, participants may want to keep track of how often the terms would not have been used naturally and in those cases if use of the terms disrupted the coherence of the relationships of the subject headings used by the institution for non-intergovernmental records."

NEW YORK: "Using the same LCSH terms will ensure that areas identified by the IRP can be extracted together. Agreeing on common subject terms for these is a good idea.

MINNESOTA: In general, these proposals are "interesting, useful, and readily achievable by repositories cataloging records or record series of the designated types."

MASSACHUSETTS: This memo has helped to "begin a dialogue among the project members concerning information sharing and the intergovernmental records segment of the grant...will begin us thinking about how/if we are going to share access to all public records descriptions.... We agree that it is a good idea to standardize subject terms for better access."

KENTUCKY: Proposals seem "workable," but would be delayed in implementation because of current project to converting SPINDEX database. Subject and form/genre terms will have to be added as individual records are edited.

UTAH: "We could probably support most of the ideas mentioned....and are anxious to see the project succeed."

(a) Naturalizations

WISCONSIN prefers to use a form/genre term for naturalization records as well as the following LCSH term:
650 b0 $aNaturalization$zWisconsin$z_____ County.

MINNESOTA prefers to make naturalization records a form/genre term. "We fear that intermingling form/genre and subject terms, especially in a search environment such as RLIN's where two different search queries are used for form/genre and subject terms, will confuse users and hamper our ability to utilize the form/genre concept effectively."

UTAH prefers to make naturalization records a form/genre term.

(b) Pre-Federal records

WISCONSIN noted that subfields should be y rather than x.

MASSACHUSETTS noted that subfields should be y, not x, and period should be omitted after $aUnited States.

(c) Federal education grants to the handicapped

No comments

(d) Territorial records

WISCONSIN prefers to use a form/genre term for territorial records, but noted that it is not on current aat list. "Do we have to put it in 690 because there's no valid way to put it in 655 and no 69x form and genre field?" Also questioned whether a subfield z would be unnecessary because territory name would always be in the 110 and "someone with interest in a specific territory would more likely seek records through a corporate word or phrase search rather than a form and genre search."

MINNESOTA prefers to use territorial records as a form/genre term. "It seems especially important to establish a term and a coding for territorial records that will be widely (if not universally) accepted and used, since current AACR2 name entry rules do not permit the use of "Territory" or "(Ter.)" as part of a state's geographic or corporate name. The GRP might do well to propose that it be added to the aat lists."

MASSACHUSETTS prefers to use territorial records as a form/genre term. Would also like to see aat include such terms as "colonial records" and "provincial records."

UTAH noted that many of their series spanned the territorial and statehood periods. "Would we need to apply this term only to those series that were exclusively produced during the territorial period, that were partially produced during that time or those that contain any territorial records at all, even if they represent only one of 50 years?"

(e) WPA and related New Deal agencies

MASSACHUSETTS noted that period should be omitted after (U.S.)

(f) Non-population censuses

WISCONSIN suggested for non-population censuses, "would the 690 terms duplicate words in the titles when these schedules occur in separate series? If so, they may prove unnecessary."

MASSACHUSETTS recommended against using the 690 field, and proposed instead use of the following LC terms (noting that LC uses census as a free-floating subdivision) in 650:

Agriculture$z $xCensus. (or Statistics)
Mortality$z $xCensus. (or Statistics)
(Place)$xIndustries$xCensus. (or Statistics)
(Place)$xSocial conditions$xCensus. (or Statistics)

(g) Wetlands

WISCONSIN suggested changing one subfield for the following corrected version:

650 b0 $aWetlands$z(name of state) $z other place subdivision)

Also proposed not using a 690 term for Clean Water Act, but rather using the following term:

610 10 $aUnited States.
$tFederal Water Pollution Control Act.

MASSACHUSETTS noted subfield $z should be used, not $ and noted that Clean Water Act already exists as a 110 $t and should be used as a 610 subject of the record series.

2. Form/genre terms

MASSACHUSETTS agrees with the addition of federal government records, and requests also the use of territorial records, provincial or colonial records, and naturalization records.

MINNESOTA notes that "'State government records,' 'local government records,' and 'federal government records' are arguably not form/genre terms as that concept is usually defined, but rather expressions of provenance. As such, they have no real form/genre connotations. Moreover, in a national or other large database containing government records series, the use of these terms could quickly proliferate to the point where a search result would be too large to be useful, and quite possibly beyond the ability of the system to use it as a primary search query at all; its main function will be as a secondary limiter to searches by name, subject, etc." Also proposes using naturalization records and territorial records as form/genre terms.

NEW YORK suggests that territorial records and colonial records be added to aat lists. Notes that if GRP agrees on use of these additional terms we can start putting them in 655 field, but just not use $2aat subfield pending action by aat on suggested additions.

WISCONSIN proposes using terms naturalization records and territorial records as form/genre terms also.

KENTUCKY proposes using term naturalization records as a form/genre term also.

3. Shared agency history records

NEW YORK: "I am not convinced that the complexities described here are really necessary, since there are a number of ways to bring the records together. If it is useful, very clear guidelines and examples need to be provided. Further, repositories should be aware that if they do link their records to a NARA record, that information will not be downloaded to tape for use in their own local systems, since it has your id, not the repositories. A couple of us have local systems, and that is a concern."

MINNESOTA: "The creation by NARA of an agency history record for each territorial government, for use in linking related series regardless of custody, also appears to hold considerable promise. Would the individual state archives be able to arrange for updates to the agency history records as they compile additional history data?"

MASSACHUSETTS: "'We have already begun the practice of linking records to federal agency histories (WPA) and will continue to do so."

UTAH: "We are not sure how the idea to establish an agency history record for territorial governments could be used for our records. We link series only to the agency that created them and have not as yet linked agency records with one another. Instead we trace the names of agencies in 600 or 700. Historical or hierarchical relationships among agencies are explained in the text of the agency history. This may change as standards for linking such records evolve. Another problem is that in cataloging we treat agencies created originally in the territorial government as continuing records if they still exist. For example, we would not create an agency record for the territorial auditor's office and then a second one for the state auditor's office. We would create one agency record for the auditor's office identified as the history of the Utah State Auditor."

WISCONSIN: "We are uncomfortable with linking series descriptions to shared agency history records, though find the appraoch of linking histories of a state agency to histories of related federal agencies more alluring. Our discomfort with the series linkage stems from a concern that (1) a history written by another institution may not provide the state specific detail we might desire, (2) a history by another institution might be deleted or altered in a way significant to our series descriptions, (3) depending on the number of series in their holdings two institutions might prefer a history at a higher hierarchical level or a history at a more specific hierarchical level, and (4) potential difficulty in obtaining clear printed reports if we couldn't get a coherent product from a selection of our own RLIN records; if we needed other institutions' entries too how could we distinguish which ones were needed? I think we are more comfortable with linking histories to other histories because that would be an added layer of access which we aren't attempting now rather than a substitute for access which we now provide and feel we need to control ourselves."

3(b). Shared agency history records for statute histories

WISCONSIN: "We find the proposed creation of agency history records for statutes most intriguing. Karen likes it because records generated by provisions of a statute aren't really about the statute so a subject heading saying "Clean Water Act" is somewhat unorthodox and this is an alternative. Michael and Sue don't like it because use of an agency history record for a statute is even more unorthodox. We seem to be regarded as heretics already in the more traditional library world and this may be going too far. As Karen and Debbie's report has indicated, even the original seven states are inconsistent in the way they use agency history records. Until the original use is standardized and/or clarified, it would be a mistake to further muddy the waters. A related issue is how narrowly to define the connection between the series and the statute (this applies to a subject heading for an act too). Should a heading or linkage be provided only for state series concerned with disbursing federal money or enforcing federal rules? Or should the connection be defined more broadly? Need an entire series meet the definition or if only a portion does should be linkage be supplied? The steering committee will probably want to provide participants with some guidance in this area.

MINNESOTA: "We have no philosophical problem with utilizing the agency history concept for describing the requirements and legislative history of a statute, such as the Clean Water Act, and in fact it seems eminently helpful. An agency history record is, in effect, a sort of authority record, and there would seem to be no logical reason to confine this concept solely to histories of actual government agencies. We also agree that reference to a specific statute that governs particular programs or activities is a useful, and possibly the most direct and reliable approach to bringing together certain categories of related records. We do perceive a significant problem, however, in utilizing a name in the bibliographic "authority records" (as well as in cataloging record series) that differs from the name given to that same entity in the LC name authority file, i.e., "Clean Water Act" rather than "110 1 - United States.<IF>tFederal Water Pollution Control Act." In order to ensure consistency of usage (and thus reliability of retrieval) among all repositories, it is essential to use the same names.

UTAH: "We are not sure how the idea to create agency records for the requirement of a statute would work. Wouldn't the same thing be accomplished by the use of 600 and 700 fields?

KENTUCKY: "I am not sure that I like the idea of describing the Clean Water Act as an agency history. It does seem like a sensible solution considering that so many agencies oversee the act, but I am not totally convinced. I guess I am saying that my mind is fairly open, but I need to be convinced."

NEW YORK: "I think we need to discuss whether we want to get into such an extension of an agency history record. I see its usefulness to some extent, but I also know that there are significant questions being raised by the larger RLIN AMSC Community about some of our implementations. Some of the current permutations of agency history records need to be looked at carefully, and this is one of the things we will be doing in the Descriptive Practices/Search Strategies Working Group.... Before we become too "innovative" we need to work things through with some of the other governing bodies in RLIN....

MASSACHUSETTS: "We disagree on the use of agency history records for descriptions of legislation and think a brief administrative background of the act should be inclulded in the 520. A clear understanding of an agency history as a authority record is most important. It would not remain so if used to describe "programs" which do not correspond to the boundaries of an agency. A search for the act can be accomplished through a title search. We would also want to see a justification for the variant uses of the agency history record (territorial, colonial, governor's term histories), so that its' use is consistent, limited and agreed upon.

4. Note field references

WISCONSIN: "We feel that the intergovernmental records project ought to limit itself to the predefined areas in order to test the utility of sharing information and to determine the best method to do so. Once the project has reached a conclusion, we can then consider the best method of expanding the project."

MASSACHUSETTS: "We agree that sharing information concerning related records by e-mail is an excellent idea, and as I mentioned before have begun to identify and describe these series."

NEW YORK: "I'm not sure this isn't overkill. There is ample opportunity to bring these records together by various other indexing points such as corporate author, subject, and form of material. The note fields, including 544, are intended to provide notes for explaining material associations, and are not searchable. I would only luse a 544 if there are no common indexing points--and from the relationships of the records, I don't see how there couldn't be many already.

UTAH:: "I think that we will probably have few, if any, federal records. What we would think of as federal would be those which were created, administered, funded, and staffed by the federal government. Others we would probably enter as state recrods, so I am not sure how these would be linked."

5. Facetted indexing future prospects

WISCONSIN: "Though field 654 might be useful in the future, we have reservations about the suggested possible use. Like thte index term "Intergovernmental records," "Federal...duplicate" does not seem to us a search anyone would want to do. Might this have utility in narrowing a subject search's result or are there better ways to do that? The latter seems more likely to us and if so, what would be the purpose of such an index term?

KENTUCKY: "We would like to hear more about this possibility before commenting on it."

6. Other general comments

UTAH: "We certainly plan to enter records in all of these categories as they become available, but the number will probably be small for the foreseeable future. Scheduling priorities, set some time ago, were dictated by which agencies were most cooperative and anxious to take advantage of records management. The agencies in Utah ~~that~~ have responsibility for education and natural resources were not among them. Information about most territorial, naturalization and New Deal era records that we have exists only at a minimal level, barely enough to meet RLG standards. We plan to add full cataloging information as these records are processed. Would it help the project at all to have these shell records entered?"

NEW YORK: "One of the simplest means for ensuring co-location of these records is agree on basic principles for the assignment of the creating agency role. Following the principles laid out in Hensen's new revision of Archives, Personal Papers, and Manuscripts, a series of "rules" or guidelines for doing this could be produced and suggested to the government records community. I think it would be a valuable tool, and certainly of interest to those of us in the Government Records Project.

ACCESS TERMS FOR INTERGOVERNMENTAL CATEGORIES

Listed below are recommended access terms to be used in entering records descriptions for certain categories of government records into the Research Libraries Information Network on-line database. It is not a requirement of the MARC-AMC format or the RLIN database that these particular terms be used; but archivists participating in an RLIN data entry project (the NHPRC-funded Government Records Project) have voluntarily agreed to use these terms in order to increase the ease of retrieval of the records. This agreement will, we hope, counteract a common problem in the database: that inconsistencies in the choice of access terms among different institutions have occasionally made it more difficult to find all relevant entries in the data base for a requested subject area.

We have described these records as "intergovernmental" because they are government records with a history of division and dispersion due to historical accident or the separation of functions in a federal system of government. The records included are closely related in subject matter and provenance; in some cases, originally forming part of the same record series.
The particular categories listed below do not represent all such intergovernmental categories, but are those being used as test categories by the Intergovernmental Records Project.

The recommended access terms are listed below by the category of records to which they pertain, with full information for USMARC-AMC data entry, including field numbers, indicator codes, and subfielding. Information to be filled in by those entering the records into the database is indicated in brackets [].

Please note that these access terms represent only a minimum standard level of records indexing. Please feel free to add additional access terms to your records entries in accordance with individual institutional indexing patterns and personal preferences.

Finally, we note and express appreciation to those who reviewed these terms and provided valuable suggestions for improvements, including most notably Steve Hensen (Manuscript Department, Duke University Library and 1989-90 RLIN AMSC Program Officer) as well as the members of the Government Records Project, including archivists representing state archival institutions (Alabama, California, Georgia, Kentucky, Minnesota, Nevada, New York, Oregon, Pennsylvania, Utah, Virginia, Wisconsin) and municipal archival institutions (Washington, DC and New York).

General Note: For intergovernmental records, the identification of the level of government is a significant part of each series or agency history record entered. In additional to particular terms for each subject category, therefore, include one of the following as appropriate in the form/genre field:

655 b7 $aFederal government records.$2aat.
655 b7 $aState government records.$2aat.
655 b7 $aCounty government records.$2aat.
655 b7 $aMunicipal government records.$2aat.

(1) **Naturalization Records**

Use both the subject and form/genre terms below:

655 b7 $aNaturalization records.$2aat.
650 b0 $aNaturalization$z(insert name of state)
$z(insert name of county or city)

(2) **Territorial Records**

Use both the form/genre term listed below and a subject term representing the appropriate chronological division of state history, preferably under headings for "Politics and Government" where those exist:

Example:
655 b7 $aTerritorial records.$2aat.
651 b0 $aAlabama$xPolitics and government$yTo 1865.

List the name of the territory in the local subject field:

697 2b $aAlabama Territory.

(3) **World War II records**

Use the LCSH term for the war:

650 b0 $aWorld War, 1939-1945

as well as Name Authority terms for the particular organization involved, such as the following:
610 10 $aUnited States.$bSelective Service System.
610 10 $aNew York (State).$bNational Guard.
610 10 $aUnited States.$bCorps of Engineers.

(4) **Non-Population Censuses**

Use the first term always, and choose one or more from the other terms, as appropriate:

651 b0 $aUnited States$xCensus, [number], [year]

650 b0 $aAgriculture$z[name of place]$xCensus.
651 b0 $a[Name of state/county/city] $xManufactures$xCensus.
650 b0 $aMortality$z[name of place]$xCensus.
651 b0 $a[name of state/county/city]$xSocial conditions $xCensus.

(5) **Pre-Federal Records**

Use one or both, as appropriate:

651 b0 $aUnited States$xPolitics and government $yRevolution, 1775-1783
651 b0 $aUnited States$xHistory$yConfederation, 1783-1789

For records dating in the colonial period, use both a form/genre term and an example of a state-specific subject term:

655 b7 $aColonial records$2aat.
651 b0 $aConnecticut$xPolitics and government $yColonial period, ca. 1600-1775.

(6) **Federal education grants to the handicapped**

Use both:

650 b0 $aFederal aid to education.
650 b0 $aFederal aid to handicapped services.

(7) **Records generated as a result of the Clean Water Act**

610 10 $aUnited States.$tFederal Water Pollution Control Act.

(8) Records generated in accordance with the maintenance of **correctional** facilities by government units:

650 b0 $aCorrections$z[name of state or United States] $z[name of other geographic subdivision].

(9) **WPA and related New Deal agencies'** records

The preferred form for the WPA as a general subject heading is the final form of its corporate name:

610 10 $aUnited States.$bWork Projects Administration.

Earlier forms of its name and earlier predecessar organizations' names can also be used, as appropriate:

610 10 $aUnited States.$bWorks Progress Administration.
610 10 $aUnited States.$bFederal Civil Works Administration.
610 10 $aUnited States.$bFederal Emergency Relief Administration.

There were several well known WPA projects which should also be entered under their own headings, as appropriate:

610 20 $aFederal Art Project.
610 20 $aFederal Music Project (U.S.)
610 20 $aFederal Theater Project (U.S.)
610 20 $aFederal Writers' Project.
610 20 $aHistorical Records Survey (U.S.)
610 20 $aHistorical American Buildings Survey.
610 20 $aSurvey of Federal Archives (U.S.)
610 20 $aHistoric American Merchant Marine Survey.

If you have questions about these terms and procedures, please write or call Marie Allen, National Archives, Washington, DC 20408 (202-724-0137).

RECORDS OF THE WORK PROJECTS ADMINISTRATION.

Assistant Professor John Q. Smith has received a grant for a book on the impact of the Depression in Wisconsin. He is interested in exploring issues identified in New Deal work relief programs that are relevant today to the welfare reform movement. He is particularly interested in equal pay issues related to women and in the early experiments by the Work Projects Administration (WPA) and its predecessor agencies in federally-subsidized day care.

After reviewing the materials available in his university library, he planned to visit Wisconsin to consult original source materials. Before he left the university library, however, the reference librarian offered to search the RLIN database for related materials.

The search revealed that the records of the WPA and its predecessor agencies (Civil Works Administration, Federal Emergency Relief Administration, Works Progress Administration) are divided between several institutions. In this instance, there are major holdings at the Wisconsin State Historical Society and at the National Archives and Records Administration (NARA) in Washington, DC, even for records created in Wisconsin.

In a records series described by NARA (DCNV89-A119), Smith can find records of the Civil Works Administration office in Wisconsin, including organizational charts, correspondence, transcripts of radio talks by the Wisconsin Director and issues of the internal newsletter, the "Cooperator." Issues discussed in the records include the organization of a division for women's work and whether those individuals on state relief rolls (many of whom were unemployable) should receive CWA jobs before the able-bodied unemployed who were not on state relief rolls.

Detailed information about construction projects are described in series DCNV89-A174. This series includes plans, statistical information on labor costs and equipment, copies of easements and construction plans for Wisconsin parks, hospitals, schools, roads, and airports.

Non-construction projects ("white-collar jobs) also produced important data, such as the more than 100 cubic feet of inventories of Wisconsin historical records in Madison (including church records, newspapers, Wisconsin imprints, etc)(WIHV1953-A). At the National Archives there are also musical scores, plays, tourism publications and other materials produced by these "white-collar" projects.

Through consulting the database Smith learned about some unexpected documentation situations, such as the fact that the

index to the NARA construction projects series is not with the other materials in Washington, DC., but remains in Madison, Wisconsin (WIHV1688A).

Consulting the agency history record for the Office of the Assistant Commissioner for Wisconsin (DCNV89-A177) provides Smith with valuable background information, compiled by archivists from original source materials at NARA.

A closely related oral history, located in Wisconsin, is that of Paul and Elizabeth Raushenbush (WIHV87-A1085), economists at the Univeristy of Wisconsin from about 1920-60. The Rausenbushes were involved in the creation of Wisconsin's Unemployment Act and the administration of the New Deal era state programs for unemployment compensation.

Should Smith wish to trace policy issues identified in Wisconsin in a broader context, he would find be able to identify the major central correspondence and report series maintained at national level by the CWA, FERA and WPAs (DCNV89-A66, A16, A67, A77, A78, A91, A90.) Several of these series are arranged by state, for easy retrieval of material related to Wisconsin. Separate central series exist for major subunits of these organizations, such as the Federal Theater Project, Federal Writers' Project, etc. (examples DCNV89-A77, A75, A89).

He might wish to compare the economic situation in Wisconsin during the 1930's with other economic periods. Records of bankruptcy courts in the Wisconsin territory (1840's) might be useful for this purpose (example DCNV89-A703, located at NARA). Related records in Wisconsin for later periods include a state agency's General Relief reports, 1960's, arranged by month and by county, and including relevant statistics (WIHV86-A1554), or the State Employment Service's Labor Market Reports, 1949-70, providing statistics on employment trends, hours and wages, etc. (WIHV1023-A).

He may also decide to compare his Wisconsin findings with the experiences of other states. At NARA there are records for other states similar to those for Wisconsin. A database search also reveals that there are significant holdings of WPA records in archives of New York state and city, Kentucky, Alabama, and California. A search of the RLIN Books file reveals published WPA materials held by the California archives.

Now Smith is ready to plan his on-site research visits. He first identifies those records in the database relevant to his topic that are available on microfilm by interlibrary loan. He than focuses on those original materials that must be consulted on-site, and identifies priorities and a logical order of research. His letters to archival institutions prior to his research visits are more likely to be successful because he can be specific about the types of records he wants. The examples he has seen in RLIN indicate the record-keeping methods and indexing systems used during the period in which he is interested.

NATURALIZATION RECORDS

After a busy and successful career as a secondary school teacher, Jeanie G. Germane has retired and has time at long last to pursue her interest in family history. She has looked at census records on microfilm at her local archival repositories in Texas, and she has the name and approximate date of arrival in the United States for two of her immigrant ancestors. One ancestor arrived at the port of New York City in 1808; moved to Brown County, Ohio in 1818; and arrived in Texas in 1830. A second immigrant ancestor came to the United States from Germany in 1910, port of entry unknown.

Germane would like to find her ancestors' naturalization records, but she is confused by the fact that these records might be located at federal, state, county or municipal archival repositories. From the time of the first naturalization act, in 1790, aliens who wished to become citizens of the United States could apply to any common law court of record, at the federal, state, county or municipal levels. A 1906 law restricted naturalization activities to the larger courts at all levels of government.

One of the archivists at the county historical society offered to look for leads in the RLIN database.

He found that the naturalization records for New York and Texas, as well as other states, had been indexed as part of a New Deal era work relief program. The series for New York state covered the period 1792-1906, included photocopies of records from most of the state's federal, state and local courts (almost 2000 cubic feet of records), and was served by a name index (DCNV89-A709). The information provided about each petitioner includes his name, former nationality, occupation, age and port and date of arrival. The database description also contains the information that the index and photocopied records collections are located at the National Archives' Northeast Region repository, in Bayonne, New Jersey. Some of the original state and local naturalization records referred to by the index are also listed in the database (examples NYHV88-A199, A163, A153).

A similar project for Texas had resulted in an index covering most federal, state and county naturalization petitions for the period 1853-1939 (DCNV89-A7171).

But what about her ancestor's several years in Ohio? He might have applied for citizenship there. A search of the RLIN Books file shows a pertinent publication: Naturalization Index for Brown County, Ohio, 1818-1906. In the Books File Germane also identified another index to New York naturalizations for the period 1792-1840 (DCLC8180886B).

Germane mailed requests for searches in the naturalization indexes for her ancestor's name to the addresses listed in the pertinent database entries; she also submitted interlibrary loan requests for the Ohio and New York index publications. In several weeks, she received a positive response from the New York naturalization search, as well as copies of her ancestor's file.

By this time, Germane's interest has been whetted in the experiences of nineteenth-century immigrants in New York City. The RLIN AMC File includes descriptions of diaries or autobiographies of nineteenth-century Scottish immigrants (NYSR88-A227), English immigrants (MIUV85-A12252), German immigrants (NYHW85-A0) and Chinese immigrants (NYHV87-A1208), among others. Twentieth century oral histories describe more modern immigrants' experiences (examples NYCP88-A1704, NYCP88-A1182). Relevant photograph collections are listed by several repositories, including the Museum of the City of New York (NYHV87-A2430 and NYHV87-A1208). Germane's next vacation will include visits to several New York museums, archives and libraries.

Germane's daughter, Cindy, made her New York City immigrant ancestor the subject of a paper in her first college history course. She needed statistical information as well, so the helpful RLIN archivist obliges with another database search. In the RLIN Serials File he found several listings for annual reports of the State Commissioners of Emigration of the State of New York, for various years in the nineteenth century.

The first immigrant ancestor's records were easy; what about the second, the one that arrived in 1910 at an unknown port?

Through examining records descriptions in the RLIN AMC file (DCNV89-A233), Germane learns that there is a single index for naturalizations from 1906 to the present, regardless of the court of record. The index has not been accessioned by any archival institution, but remains in the office of the Immigration and Naturalization Service in Washington, DC. Using the address listed in the records description, Germane submits a request for a name search in the index. Once she receives the result, Germane can identify the court of record for her ancestor's naturalization petition, and correspond with that court or that court's records repository.

EXAMPLE: NARA STATUTE HISTORY RECORD

United States. Federal Water Pollution Control Act.
Statute history record.

The Federal Water Pollution Control Act, also known as the Clean Water Act (CWA), first passed in 1972 (Public Law 92-500) and amended in 1977 (Public Law 95-217) and several times since, has as its objective "to restore and maintain the chemical, physical, and biological integrity of the Nation's waters." According to Title I of the CWA it was the policy of Congress to recognize, preserve, and protect the primary responsibilities and rights of States to prevent, reduce, and eliminate pollution, to plan the development and use of land and water resources, and to consult with the Federal government on the exercise of its authority under the CWA. States were to manage the construction grant programs under the CWA and implement the permit program under Sections 402 and 404. In 1987, the CWA was amended by the Water Quality Act which expanded the Environmental Protection Agency's program to address new discharge sources of pollutants and to control toxicity.

The CWA is divided into five titles. Title I - Research and Related Programs, Title II - Grants for Construction of Treatment Works, Title III - Standards and Enforcement, Title IV - Permit and Licenses, and Title V- General Provisions. Each title is divided into sections on specific questions such as Section 303 for Water quality standards and implementation plans. Major programs authorized by the CWA include the National Pretreatment Program (Section 307), Pollutant Discharge Elimination System (Section 402), the Sludge Management Program (Section 405), and various grant programs for construction and training.

The record series created at the State and Federal levels in response to the requirements of this statute may be found by doing an RID search. Record series related to specific sections of the statute are linked to statute section records, which in turn are linked to this record.

1. United States. Federal Water Pollution Control Act. 2. Water--Pollution. 3. Water--Law and legislation. 4. Federal government records. 5. Water and waterways. 6. Environment. 7. Clean Water Act, (1972, 1977).

ID: DCNV89-A32 CC: 9554 DCF:
:?

NARA'S NEW DEAL RELIEF AGENCIES' RECORDS DESCRIBED BY THE IRP IN RLIN

(Annotated with RLIN ID numbers and references to boxes of textual records or reels of microfilm pertaining to Wisconsin programs)

1) United States. Work Projects Administration. **Office of the Wisconsin State Administrator.** AGENCY HISTORY RECORD.

DCNV89-A177

2) United States. Work Projects Administration. Division of Investigation. DIVISION OF INVESTIGATION CASE FILES, 1935-1943.

DCNV89-A175

Wisconsin records on Reels # 4066C-4070c.

3) United States. Work Projects Administration. **Office of Wisconsin State Administrator.** PROJECT FOLDERS, 1935-1943.

DCNV89-A174

4) United States. Work Projects Administration. **Office of Wisconsin State Administrator.** PROJECT OPERATING DIVISION CORRESPONDENCE, 1935-1940.

DCNV89-A173

5) United States. Work Projects Administration. **Office of Wisconsin State Administrator.** ADMINISTRATOR'S RECORDS, 1935-1941.

DCNV89-A171

6) United States. Federal Civil Works Administration. **Office of Wisconsin State Director.** PROJECT FOLDERS, 1933-1934.

DCNV89-A121

7) United States. Federal Civil Works Administration. **Office of Wisconsin State Administrator.** PROJECT REGISTERS, 1933-1934.

DCNV89-A120

8) United States. Federal Civil Works Administration. **Office of Wisconsin State Director.** ADMINISTRATOR'S RECORDS, 1933-1934.

DCNV89-A119

9) United States. Work Projects Administration. State Administrators' Office. STATE INVESTIGATIVE RECORDS, 1935-1943.

DCNV89-A98
Wisconsin records on Reels # 2591-2597

10) United States. Work Projects Administration. Division of Finance. RESTITUTION CASE FILES, 1935-1943.

DCNV89-A97
Wisconsin records on Reels # 4018A-4020A

11) United States. Work Projects Administration. Project Control Division. RECORDS RELATING TO SPONSORS' AGREEMENTS AND OTHER MATTERS, 1934-1941.

DCNV89-A96
Wisconsin records on Reel # 2230.

12) United States. Federal Emergency Relief Administration. Emergency Work Relief Program. REPORTS OF COMPLETED, TRANSFERRED OR DISCONTINUED WORK PROJECTS UNDER THE EMERGENCY RELIEF ADMINISTRATION (ERA) WORK PROGRAM, 1935-1937.

DCNV89-A95
Wisconsin records on Reel # 1454.

13) United States. Federal Emergency Relief Administration. Office of the Administrator. APPLICATIONS FOR GRANTS-IN-AID, 1933-1936.

DCNV89-A94
Wisconsin records on Reel # 908.

14) United States. Federal Civil Works Administration. Director of Research and Statistics. WEEKLY REPORTS ON EMPLOYMENT, HOURS AND WAGES ON CIVIL WORKS PROJECTS, 1933-1934.

DCNV89-A93

15) United States. Federal Civil Works Administration. State projects office. PROJECT RECORDS, 1933-1934.

DCNV89-A92
Wisconsin records on Reels # 314-352.

16) United States. Federal Civil Works Administration. STATE SERIES, 1933-1934.

DCNV89-A91
Wisconsin records in Boxes # 51-52.

17) United States. Federal Emergency Relief Administration. STATE SERIES, 1933-1936.

DCNV89-A90
Wisconsin records in Boxes # 321-327.

18) Federal Theatre Project (U.S.) CORRESPONDENCE WITH REGIONAL OFFICES I-V, 1935-1939.

DCNV89-A89

19) Federal Writers' Project of the Works Progress Administration of Massachusetts. ADMINISTRATIVE CORRESPONDENCE OF THE NEW BEDFORD, MASS., DISTRICT OFFICE, 1936-1939.

DCNV89-A83
Wisconsin records in Box # 68.

20) Historical Records Survey (U.S.) FIELD AND REGIONAL SUPERVISORS' REPORTS, 1936-1942.

DCNV89-A80
Wisconsin records in Box # 150.

21) Historical Records Survey (U.S.) EDITORIAL CORRESPONDENCE, 1936-1942.

DCNV89-A79
Wisconsin records in Boxes # 171, 181, 192, 194, and 201.

22) Historical Records Survey (U.S.) GENERAL PROJECT CORRESPONDENCE, 1936-1942.

DCNV89-A78
Wisconsin records in Boxes # 145-147.

23) Federal Art Project. CORRESPONDENCE WITH STATE AND REGIONAL OFFICES, 1935-1940.

DCNV89-A77
Wisconsin records in Box # 33.

24) Federal Writers' Project. APPLICATIONS FOR PERMISSION TO PUBLISH, 1936-1944.

DCNV89-A76
Wisconsin records in Box # 181.

25) Federal Writers' Project. PUBLICATION REPORTS, 1937-1942.

DCNV89-A75
Wisconsin records in Box # 146.

26) Federal Writers' Project. ADMINISTRATIVE CORRESPONDENCE, 1935-1939.

DCNV89-A74
Wisconsin records in Box # 49.

27) Federal Writers' Project. EDITORIAL CORRESPONDENCE, 1936-1939.

DCNV89-A73
Wisconsin records in Boxes # 131-132.

28) Federal Music Project (U.S.) NARRATIVE REPORTS, 1936-1940.

DCNV89-A72
Wisconsin records in Boxes # 4, 6 and 12.

29) Survey of Federal Archives (U.S.) CORRESPONDENCE WITH THE REGIONAL OFFICES, 1936-1943.

DCNV89-A71
Wisconsin records in Box # 97.

30) Survey of Federal Archives (U.S.) PROJECT SUPERINTENDENTS' REPORTS, 1936-1937.

DCNV89-A70
Wisconsin records in Box # 113.

31) Survey of Federal Archives (U.S.) REPORTS ON SERIALS, 1936-1940.

DCNV89-A69
Wisconsin records in Boxes # 932-938.

32) Survey of Federal Archives (U.S.) SURVEY OF NON-FEDERAL RECORDS, 1936-1940.

DCNV89-A68
Wisconsin records in Box # 1033.

33) Survey of Federal Archives (U.S.) UNPUBLISHED MANUSCRIPT MATERIAL, 1936-1942.

DCNV89-A67
Wisconsin records in Box # 181.

34) United States. Work Projects Administration. STATE SERIES, 1935-1944.

DCNV89-A66
Wisconsin records in Boxes # 2789-2831.

THE STATE HISTORICAL SOCIETY OF WISCONSIN

H. Nicholas Muller III, Director

816 State Street
Madison, Wisconsin 53706
608/262-3266

October 27, 1988

TO: Marie Allen, National Archives and Records Administration

FROM: Michael E. Stevens, Assistant State Archivist

RE: Exchange of Appraisal Information Between NARA and The States

A recent appraisal experience here at Wisconsin impressed upon me the need to set up a mechanism to share information that goes beyond making entries in a database. We recently received some record schedules drafted by our state Commissioner of Banking Office. In several of these, the state office receives records, such as annual reports, that are also submitted to federal agencies. In this case, after making several phone calls, I contacted the National Archives records analyst who handles banking records. He was familiar with these series and informed me that NARA plans to schedule the reports for pemanent retention. Since NARA will be preserving this information, Wisconsin can permit destruction of its copies of the records. We also discussed NARA appraisal standards for bank examinations performed by the FDIC. Knowledge of the rationale behind the NARA decision was helpful in our appraisal of a similar series of examinations performed on state chartered banks. A systematized exchange of this kind of information could also be useful to other states.

One of Don Wilson's goals for NARA set out at the 1988 NAGARA meeting is the development of a national collecting policy. The Intergovernmental Records Project recognizes that the sharing of information between NARA and the states will be a key part of such a policy in order to avoid duplication of effort or to fill in missing gaps in the documentation of our history. While we have concentrated on the database aspects of the project, another important element should be a telephone information service provided by NARA that could offer the states up-to-date scheduling and holdings information. Such a service would only take a small percentage of a NARA employee's time and so would not be expensive to implement. What I envision would be the appointment of an ombudsman who state appraisal archivists could call for timely information. This person would either obtain the needed information and return the call or would have the authority to instruct the appropriate NARA specialist to provide the information directly. For the program to be successful, the "appraisal hot line" would have to be widely publicized (through NAGARA and SAA) and the ombudsman would have to have the authority to instruct the appropriate NARA staff members to provide the information.

Since state appraisal programs differ depending on whether or not records management is located in the state archives, the NARA program would have to be flexible enough to deal with these differences. Some states, for instance, can anticipate what records will be scheduled and can contact NARA in advance for information on a whole program. Other states react to schedules prepared by outside agencies. For instance, in Wisconsin we have six weeks to respond to a records schedule drafted by a state agency and so prompt information is vital if it will have any usefulness to us.

Such a program would never grow very large and thus should not be a burden on NARA. Nonetheless I would expect it would increase the number of contacts NARA gets from state appraisal archivists since currently it is very difficult to know where one can get the needed information. In my banking example I was fortunate, yet to get the information I had to identify a NARA contact from the NAGARA meeting, get the phone number from the SAA directory, and talk to five different people until I found the person who could provide the information. The entire process took a week. A formal mechanism would make the sharing of information more systematic and less dependent on good luck.

I suggest that you consider including this idea in your final report.

MES:ms

7046G

The Research Libraries Group, Inc.
1200 Villa Street
Mountain View, California 94041-1100
(415) 962-9951

September 20, 1989

Mr. Ben Tucker
Chief, Office of Descriptive Cataloging Policy
Library of Congress
Washington, D.C. 20540

Dear Ben;

I am finally getting around to putting something down on paper regarding the questions I raised with you earlier in the summer on the matter of territorial headings. This summer has been utterly consumed by finishing up the 2d edition of *APPM* and with putting together a cooperative (10 institution) RLG retrospective conversion proposal for archival and manuscript material for NEH. Now that I am finally getting my desk cleared off, I am able to take up a number of things that have been in abeyance.

You may recall from our earlier discussions that the problems with the existing rules for headings for U.S. territories has emerged in connection with an NHPRC-funded Government Records Project that we are running here. One of the goals of this project is to enter bibliographic records for federal archival material that is no longer in federal custody. As it so happens, records of territorial governments are a very common example of this kind of material.

In the course of entering records, the participants have been running up against the problem of having to use headings that are simply inaccurate when applied to the material they are describing. For example, using the heading ***New Mexico*** for territorial court records from what is now Nevada, Arizona, or Colorado is neither accurate nor satisfactory. Similarly, a look at the authority record for Arkansas shows 451 tags for Arkansas Territory, Missouri Territory, and Louisiana Territory, all of which could be legitimate headings under which archival material from those entities should be entered.

Two things seem clear. First, the RI for 24.6 seems to have been incorrectly applied to U.S. territories. The rule of thumb established in the first part of the relevant sentence (i.e., "When a succession of jurisdictions would be entered under the same name, use one heading for all") would permit establishing territories under their own name, since the succession of jurisdictions would *not* logically be entered under the same name. Unfortunately, the second part of that sentence ("no matter what differences there are between the jurisdictions") contradicts that principle for it is the differences that determine whether the jurisdictions would be entered under the same name. It is historically inaccurate to say that New Mexico Territory equals New Mexico. This fact seems to have been acknowledged in creating a separate heading for ***Dakota Territory***, distinct from ***North Dakota*** and ***South Dakota*** (although nowhere in the record is the fact that part of Dakota Territory was once part of Minnesota Territory). This mistake seems to be the result of both a lack of historical understanding of the facts and the mistaken assumption that such entities could not generate bibliographic material (how many times since archival materials have entered the bibliographic fold have assumptions of this sort had to be reexamined?).

Second, it seems to be two entirely different things to form such headings through modifying additions on the one hand (***e.g., Wisconsin (Territory)*** or ***Connecticut (Colony)***) and to create them as straightforward headings (***Dakota Territory***) on the other. As a result, I would argue that the RI for 24.6 doesn't even apply in this case and that the

general rule for governments (24.3E1) should be used instead--particularly since the territories in question meet the criteria for defining governments as given in the footnote. In addition, although on the surface this argument seems to apply less to the original colonies, since their current entity more closely approximates their colonial entity, this is not always the case. As I'm sure you know, Massachusetts Bay Colony once encompassed most of New England and the Colony of Connecticut once extended well into what was then known as the Western Reserve (modern day Ohio). The implications for the cataloging of archival material from this period are obvious.

Thus, I would argue that a new RI needs to be written explicitly permitting the historical U.S. territories to be established separately from those portions of them that eventually became states and further, that these headings be formed as straightforward government names, *e.g.* ***Montana Territory***, ***Utah Territory***, etc.

I have discussed this matter at some length with and have shown this letter to Ed Glazier. His own experience in dealing with the cataloging problems associated with government records has led him to the same conclusions I have articulated above.

I have enclosed of some guides from the National Archives that will help you understand some of the historical complexities of dealing with these territories.

Thanks for taking the time to consider the above matters. If you have any questions or wish to discuss this further, please do not hesitate to get in touch with me.

Sincerely yours,

Steve

Steven L. Hensen
Senior Program Consultant and Program Officer for Archives, Manuscripts, and Special Collections

cc: Marie Allen
Alan Tucker

Enclosures

THE LIBRARY OF CONGRESS

WASHINGTON, D.C. 20540

OFFICE FOR DESCRIPTIVE CATALOGING POLICY

November 17, 1989

Dear Steve:

Thank you for your letter of September 20. I am sorry to find that my explanations to you on the phone, in our past conversations about this problem, have not made any impression. Let me try once again.

The Catalog Code Revision Committee of ALA, which was in charge of U.S. input to AACR 2 discussed this matter thoroughly and with as much information and expertise as your documentation offers now. So, you are not presenting surprising or new information. The reason that the matter came up for discussion is that the catalog was filled with entries from jurisdictions worldwide that separated under different headings the various bibliographic records emanating from a succession of different governments all using the same country name. This situation in catalogs caused a representation to be made that users were being required to know publication dates and dates of changes of government simply to find historical publications; they would be much better served, it was maintained, if the bibliographic records were in one A-Z file, under one heading under the single name.

What is a single name? This point was also covered; it had to be covered inasmuch as the rules for jurisdictions require generics that characterize the government to be deleted from the denomination (cf. 23.5A). Thus "Territory of Alabama" and "State of Alabama" represent one name, "Alabama," and you see the results of this over and over in our headings. To give a non-U.S. example, "Union of Burma" and "Republic of Burma" represent one name, as do "Dominion of India," "Commonwealth of India," and "Republic of India," all of which are covered by one name "India."

If there is a real difference in name, as there is in the case of "Dakota Territory," then none of the solution developed applies, and there must be different headings. Difference in name matter greatly; differences in territory covered, type of government, etc, matter hardly at all. This is the reason why there is a separate heading for the Dakota Territory, rather than the reason you suppose.

Another point well covered in the earlier deliberations was the fact that in almost every case there is a difference in territory, where the single name has been used for different governments. Our eyes were wide open; we may have been dreadfully wrong, but we made no decision out of ignorance or lack of information or without due consideration of all consequences. At that time CCRC had an enormous number of advisors and consultants, many more than we would dream of getting together today (CLR wouldn't give us the money again!)

BEST COPY AVAILABLE

What my statements should suggest to you is that the solution is not a matter of interpretation of the rules. If you and others are unhappy with the results of applying the decisions I have narrated, there is only one solution and that is a rule change. The whole matter will have to be rediscussed, but not just for U.S. materials, rather for all the jurisdictions worldwide. This may pose a stumbling block. Another may be the thousands of records created under AACR 2 that would have to be changed. None of this is meant to discourage you. ALA is very democratic about such things, and if archivists wish to propose a rule change, their views will certainly be heard. I'm only trying to alert you to the fact that it is not an open-and-shut case.

I look forward to seeing you here at the forum on multiple versions. Did you or your family experience any difficulty? Last week I was in Oakland for an institute on the 1988 revision of AACR 2, and I was appalled at the damage I saw there.

Sincerely,

Ben

Ben R. Tucker
Chief, Office for Descriptive
Cataloging Policy

Mr. Steven Hensen
Senior Program Consultant and Program
Officer for Archives, Manuscripts and
Special Collections
The Research Libraries Group, Inc.
1200 Villa Street
Mountain View, California 94041-1100

BEST COPY AVAILABLE

November 21, 1989

Mr. Ben R. Tucker
Chief, Office for Descriptive Cataloging Policy
Library of Congress
Washington, D.C. 20540

Dear Ben;

Thank you for your letter of November 17. I am sorry to be such a bother on this question. I was not aware that all of the historical "facts of life" had been duly considered in making this decision. I naturally assumed that if they had a different decision would have been made.

You point out that the decision was made with the full advice and counsel of an "enormous number of advisors and consultants." I'm sure you're right; but I'm also sure that there were no archivists involved in the decision. This matter has only recently emerged as the real problem that it is because of an increasing level of bibliographic sophistication among archival catalogers.

I remain unconvinced that file convenience is sufficient cause to ride roughshod over the vital link of responsibility between a legitimate corporate body and the records (or publications) that it creates.

Taking your cue that ALA may be perfectly willing to listen to these arguments and that CCRC "may have been dreadfully wrong" (though "dreadfully" sounds awfully strong), I will now take this to the Bibliographic Standards subcommittee of RLG's Archives, Manuscripts, and Special Collections Program Committee to see if we can put something together for Michael Fox to take before CCDA on behalf of SAA.

I thank you for your patience *and* for the valuable background information you have given me. It will be a great help in putting together our argument. I must say that I am enormously grateful that this problem is considerably more straightforward than the Multiple Versions question--it should be a *very* intersting meeting in December. Though it will be good to see you and Lisa and some of the other attendees, I'm not otherwise at all sure that I will be glad to be there. The more I study this thing, the scarier it gets!

Sincerely,

Steven L. Hensen
Senior Program Consultant and Program Officer for Archives, Manuscripts, and Special Collections

INTERGOVERNMENTAL PROJECT DATA ENTRY FORM
ACCESSIONED RECORDS
Page 1, Revised 2/13/89

FIXED FIELDS (To be completed by Intergovernmental Staff)

ID: DCNV89-4126 RTYP: ST: MS: EL: AD:
CC: 9554 BLT: bd DCF:a CSC: MOD: PROC:
PP: DCU L: ENG PC: (i)inclusive)k(bulk)or n(unknown)
PD: 1870/1880

Microfilm:
REP: a MMD: d OR: r POL: a DM: f RR: u COL: b EML: u
GEN: c BSE: u

RECORDS DESCRIPTION (To be completed by NN Staff)

035 Local control number (usually finding aid number & series number)
NARS A-1 Microfiche edition; A 29 B 30 C 20 Series 1

040 bb DNA$cDNA$eappm

110 NAME OF CREATING ORGANIZATION UNIT United States
~~Census Office~~ Bureau of the Census

110 _b $aName.$bSubordinate name.
1st indicator: 1=place or place & name, 2=direct order name

Diagram of organization hierarchy for unit

Department of the Interior
Census Office

245 00 $a, TITLE OF RECORDS UNIT

Mortality Schedules For Arizona

DATES: $f.(inclusive dates) 1870/1880
$g.(bulk dates) ____/____

300 bb $ageneral(item). VOLUME _____ ( ) linear ft. ( ) linear in.
2 rolls item count, where available

340 bb $a.R
PHYSICAL FORM Circle one or more:
Textual/Audiovisual Material/Bound Volumes/Microfiche/
Microfilm/Graphic arts/Photographs/Printed material/
Electronic Data Processing/Sound Recordings, unspecified/
Maps and charts

351 bb $a(organization)$b(arrangement).R ARRANGEMENT

~~Alphabetically by county. State and thereunder alphabetically by county.~~

Arranged Chronologically by year and thereunder alphabetically by county

506 bb $aAccess restrictions:$aterms$elaw. ACCESS RESTRICTIONS

Type of restriction: FOIA B(3): Census data restricted for 72 years

Authorizing statute/E.O./etc. 44 U.S.C. 2108

520 bb $a first paragraph $b continue.R RECORDS UNIT DESCRIPTION
If necessary, expand description on additional page and attach to this form.

~~A roll list of the Microfilm~~ - Includes Mortality Schedules for 1870 and 1880.

~~A roll list is available at the National Archives.~~

Series includes Mortality Schedules for 1870 and 1880

PUBLICATION INFORMATION (refers to records, not finding aids)
530 bb $a (type) $b Use: available from the Publications Services Branch (NEPS), National Archives, Washington, DC 20408.

$d (Title and number) for M. Collins #6

Federal Mortality Census Schedules 1850-80 and Related Indexes in the Custody of the Daughters of the American Revolution. T-655, Rolls 1 and 2

RECORDS UNIT DUPLICATED OUTSIDE NARA
533 bb $eType$fSeries title. 535 _b$aName of custodian.
PLACE CHECKMARKS IN PARENTHESES, WHERE APPROPRIATE, & FILL IN BLANKS
In another archival institution are located the originals ( )
or a duplicate copy ( ) of this records unit.

NAME OF OTHER ARCHIVAL INSTITUTION _____

OTHER INSTITUTION'S TITLE FOR RECORDS, IF KNOWN

535 1# Historical Society of the Daughters of the American Revolution
Genealogical Library #6 Washington, DC
544 bb $d (title) $a (custodian).R

RELATED RECORDS UNITS (INCLUDE TITLE AND NAME OF CUSTODIAL INSTITUTION)

580 bb $a.NR (Use only with 773 also) LINKING ENTRY NOTE

(Use to describe complex relationship to agency record history.)

(773 field completed by Intergovernmental Staff.)
773 0b $w(CStRLIN)DCNV89-A _____ $g. HOST ITEM ENTRY

$g Use: may be found a agency history record related to this records unit description.
851 bb $aNational Archives and Records Administration,$bRegional Archives Name (if listed below),$c8th and Pennsylvania Ave., NW, Washington DC 20408 OR regional archives address, $dUnited States.

REGIONAL ARCHIVES LOCATION FOR RECORDS _____
555 0b $aTitle.$bAvailable at the National Archives and Records Administration, Washington, DC TITLE AND NUMBER OF FINDING AIDS: →

1987 Microfiche edition of NARS A-1 Descriptive Data base
1) ~~NARS A-1 = Preliminary inventory in National Archives microfiche edition of preliminary inventories (19..~~
2) Reference Information Paper No. 67, "Federal Census Schedules, 1850-80: Primary Sources For

INDEXING TERMS

PERSONAL NAMES 696 _4 $a.NR

CORPORATE NAMES 697 _4 $a.$bsubordinate unit.R

SUBJECT TERMS 690 b4 $aterm.$xsubdivisionR.

Mortality rates

THIS BOX TO BE COMPLETED BY INTERGOVERNMENTAL STAFF:
CORPORATE NAMES 610 _0 $aName.$bSubordinate name.
1st indicator: 1=place or place & name; 2=direct order name.

LC SUBJECT TERMS 650 b0 $atopical entry$xsubordinate unitR.
(assigned by Intergovernmental Staff)

650 0 United States x Census, 9th, 1870
10th, 1880

GEOGRAPHIC TERMS 691 b4 $aterm$xsubdivisionR.
Continents/Oceans _____
Region/Country _____
State Names Arizona _____, _____
_____
City, County Names _____, _____
_____

FUNCTION TERMS 657 bb $a.NR Demography, Statistics

FORM/GENRE TERMS 655 bb $a Federal government records

ARC SEGMENT

RGPN 22 .Record Group.
MATL Intergovernmental
ACT Describe
TAC mm/dd/yy __ / __ / __ (BY INTERGOVERNMENTAL STAFF)

NARA RECORD -- LONG DISPLAY FORMAT

United States. Bureau of the Census.
Mortality schedules for Arizona, 1870-1880.
2 microfilm reels.

Organization: Arranged chronologically by year and thereunder alphabetically by county.

Summary: Series includes mortality schedules for 1870 and 1880. The schedules include the following common elements: name, age, sex, race (referred to as "color" in the schedules), birthplace, occupation, marital status, the date as well as the cause of death and if the parents of the deceased were immigrants. The 1880 schedules also include the parents' birthplace, the name of the place where the fatal disease was contracted and the length of residence in the county where death occurred, as well as the name and signature of the attending physician.

Cite as: Federal Mortality Census Schedules, 1850-1880, (Formerly in the Custody of the Daughters of the American Revolution), and Related Indexes, Microfilm Publication, T655, Rolls 1 and 2. Available from the Publications Services Branch (NEPS), National Archives, Washington, DC, 20408.

Originals at National Archives and Records Administration, Washington, DC.

Finding aids: 1989 Microfiche Edition of the NARS A-1 Descriptive Database; Federal Census Schedules, 1850-80: Primary Sources for Historical Research, Reference Information Paper No. 67; and Preliminary Inventory of the Records of the Bureau of the Census, PI 161, available at the National Archives and Records Administration, Washington, DC.

In Related Rec. ID: (CStRLIN)DCNV89A-125 may be found an agency history record related to this records unit description.

Location: National Archives and Records Administration, 8th and Pennsylvania Ave., NW, Washington, DC, 20408.

1. United States. Bureau of the Census. 2. United States. Census Office. 3. United States. Dept. of the Interior. 4. United States. Dept. of Commerce. 5.Vital statistics. 6. Arizona--Census. 7. United States--Census, 9th, 1870. 8. United States--Census, 10th, 1880. 9. Death--Statistics. 10. Federal government records. 11. Demography. 12. Reporting statistics. 13. Mortality census. 14. Arizona. 15. Mortality--Arizona--census.

035: NARS A-1 Microfiche edition; A-29, B-30, C-20, Series 1.
RGPN: 29. Record group.
ID: DCNV89-A126 CC: 9554 DCF: a

SAME NARA RECORD -- FULL DISPLAY FORMAT

```
  ID:DCNV89-A126       RTYP:d    ST:p            MS:        EL:?
  AD:03-21-89
  CC:9554  BLT:bd      DCF:a   CSC:?   MOD:    PROC:
 UD:06-05-90
  PP:dcu     L:eng      PC:i    PD:1870/1880   REP:a
  MMD:d     OR:r   POL:a    DM:f    RR:u---    COL:b      EML:u
GEN:c  BSE:u
  035     NARS A-1 Microfiche edition; A-29, B-30, C-20, Series 1.
  040     DNA$cDNA$eappm
  110 1   United States.$bBureau of the Census.
  245 00  Mortality schedules for Arizona,$f1870-1880.
  300     2 microfilm reels.
  340     Microfilm.
  351        $bArranged chronologically by year and thereunder
alphabetically by county.
  520     Series includes mortality schedules for 1870 and 1880.
The schedules include the following common elements: name, age,
sex, race (referred to as "color" in the schedules), birthplace,
occupation, marital status, the date as well as the cause of death
and if the parents of the deceased were immigrants. The 1880
schedules also include the parents' birthplace, the name of the
place where the fatal disease was contracted and the length of
residence in the county where death occurred, as well as the name
and signature of the attending physician.

  524     Federal Mortality Census Schedules, 1850-1880, (Formerly
in the Custody of the Daughters of the American Revolution), and
Related Indexes, Microfilm Publication, T655, Rolls 1 and 2.
Available from the Publications Services Branch (NEPS), National
Archives, Washington, DC, 20408.
  535 1       Originals at National Archives and Records
Administration,$bWashington, DC.
  555 0    1989 Microfiche Edition of the NARS A-1 Descriptive
Database; Federal Census Schedules, 1850-80: Primary Sources for
Historical Research, Reference Information Paper No. 67; and
Preliminary Inventory of the Records of the Bureau of the Census,
PI  161,$bavailable  at  the  National  Archives  and  Records
Administration, Washington, DC.
  610 10  United States.$bBureau of the Census.
  610 10  United States.$bCensus Office.
  610 10  United States.$bDept. of the Interior.
  610 10  United States.$bDept. of Commerce.
  650  0  Vital statistics.
  651  0  Arizona$xCensus.
  651  0  United States$xCensus, 9th, 1870.
  651  0  United States$xCensus, 10th, 1880.
  650  0  Death$xStatistics.
  655  7  Federal government records.$2aat
  657     Demography.
  657  7  Reporting statistics.$2aat
  690  4  Mortality census.
```

691 4 Arizona.
650 0 Mortality$zArizona$xcensus.
773 0 $w(CStRLIN)DCNV89A-125$gmay be found an agency history record related to this records unit description.
851 National Archives and Records Administration, $c8th and Pennsylvania Ave., NW, Washington, DC, 20408.

SAMPLE MASSACHUSETTS SCHEDULED RECORDS SERIES

```
ID:MASV90-A374      RTYP:d    ST:p            MS:
EL:       AD:04-10-90   CC:9554  BLT:bd      DCF:a
CSC:d   MOD:    PROC:    UD:04-10-90
PP:mau     L:eng      PC:i    PD:1976/9999   REP:
MMD:      OR:     POL:     DM:     RR:        COL:
EML:      GEN:    BSE:
035     (M-Ar)N254
035     EN3.01
040     M-Ar$cM-Ar$eappm

110 1     Massachusetts.$bDivision of Water Pollution
Control.

245 00  Regional office surface water discharge permit
files,$f<1976>[ongoing]
300     <40 cubic ft.>
351        $bArranged alphabetically by municipality,
thereunder by site.

545       The Division of Water Pollution Control was
established in 1966 within the Department of Natural
Resources and was transferred in 1974 to the Department
of Environmental Quality Engineering (Department of
Environmental Protection since 1989), where it is part of
the Bureau of Resource Protection.

520     The Division of Water Pollution Control develops
and implements programs to prevent or clean up the
pollution of surface and ground water in Massachusetts.
Programs are also implemented at the local level under
regional offices of the Department of Environmental
Protection by the various regional engineers for resource
protection. The division, in accordance with the Federal
Water Pollution Control Act (PL 92-500, PL95-217, s 402,
as amended) and the Massachusetts Clean Water ACt (MGLA
c 21, ss 26-52), joins with the federal Environmental
Protection Agency (EPA) in the National Pollutant
Discharge Elimination System (NPDES) program of permits
to authorize and control discharge of pollutant into
surface water.  This series was created by regional
office staff to monitor nonindustrial users' compliance
with provisions of NPDES permits.

520 8         $bFiles contain monitoring reports,
microbiological reports, correspondence, notices of
intents to access administrative penalities, and
worksheets.  Information includes location of system,
effluent flow rates, monitoring requirements, permissible
discharge limits, federal and state permit numbers,
remedial equipment prescribed, ratio of suspended so
lid wasts in waste water, docket number, administrative
orders, and fines assessed.
```

580 Agency history record (CStRLIN)MASVAH0174-A describes the history and functions of the Dept. of Environmental Protection.

580 Agency history record (CStRLIN)MASVAH0180-A describes the history and functions of the Division of Water Pollution Control.

610 10 United States.$bEnvironmental Protection Agency.
610 10 United States.$tFederal Water Pollution Control Act.
650 0 Water$xPollution$zMassachusetts.
650 0 Water quality managenent$zMassachusetts.
651 0 Massachusetts$xPolitics and government$y1951-
655 7 State government records.$2aat
655 7 Case files.$2aat
655 7 Intergovernmental records.$2aat
655 7 Reports.$2aat
690 4 Appraised.
690 4 Scheduled.
740 00 Surface water discharge permit files.
797 20 Massachusetts.$bDept. of Environmental Protection.
773 1 $w(CStRLIN)MASVAH0174-A.
773 1 $w(CStRLIN)MASVAH0180-A.
851 Dept. of Environmental Protection.$c1 Winter St. Boston, MA 02108.

LDA Appraisal statement: Primary value is administrative, to monitor nonindustrial dischargers holding permits under the NPDES program, and to enforce compliance. Primary enforcement activity is conducted by the regional office, which, under the provisions of 40 CFR 142.14, must retain records of enforcment actions for 10 years. Information is duplicated at local boards of health, and at central office. Control file, 1990

LDB Retention and disposition: Retain in office 5 years then retain at state records center 5 years then destroy.